POLICY SECTION

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101 OVERVIEW OF THE POLICY SECTION

The information in this policy section of the Administrative and Policy Manual is provided by the California Department of Health Services (CDHS), Tobacco Control Section (TCS) to guide the operation and functioning of local tobacco control programs. This includes local lead agencies, regional tobacco education community linkage projects, ethnic networks, and competitive grantees. Most of the policies in this section of the manual apply to all local programs funded by CDHS/TCS. However, a few are specific to local lead agencies, regional community linkage projects, or ethnic networks.

In addition to programmatic and administrative requirements, this section contains background information on California's tobacco education campaign, the mission and philosophy statements of the TCS, and principles of planning. This section should be reviewed prior to the development and implementation of interventions, evaluation activities, project staffing, and administration of tobacco control programs. As staff turnover occurs within your agency, please provide new staff with a copy of the entire Administrative and Policy Manual to ensure that they are familiar with TCS program and administrative expectations.

102 PROPOSITON 99 AND LEGISLATIVE MANDATES

In November 1988, California voters approved the Tobacco Tax and Health Promotion Act of 1988 (Proposition 99) which added a 25-cent tax to each pack of cigarettes sold in the state. Revenues from this additional tobacco tax are directed toward tobacco-related research, health education, and health care. Twenty percent of the taxes generated were earmarked for health education efforts aimed at the prevention and reduction of tobacco use with a legislatively mandated goal of reducing tobacco consumption by 75 percent in the State of California by the year 1999.

The scope of the health education campaign launched by the CDHS/TCS is addressed in the Health and Safety Code, Chapter 1.2 commencing with Section 104350. These statutes require CDHS to fund a variety of innovative approaches to reduce tobacco use which include funding for a statewide media campaign, local health departments, competitively selected state~~, regional,~~ and community-based projects, as well as an extensive evaluation of the entire tobacco education campaign.

Enabling legislation for Proposition 99 requires programs administered by CDHS/TCS to:

1. Conduct health education interventions and behavior change programs at the state level, in the community, and other non-school settings;

2. Apply the most current research findings; and

3. Give priority to programs that demonstrate an understanding of the role community norm change has in influencing behavioral change regarding tobacco use.

103 LOCAL LEAD AGENCY RESPONSIBILITIES

Local health departments are the foundation of California's local program tobacco control efforts. Health and Safety Code Sections 104375, 104380, 104400, 104405, 104410, 104415, and 104440 address local lead agency (LLA) requirements. Through these statutes, county, city, and county/city health departments are designated as LLAs. Within their health jurisdiction, they are responsible for planning, implementing, and coordinating a comprehensive tobacco control initiative. The primary legislated responsibilities are to:

- Obtain the involvement and participation of local community organizations with special expertise in tobacco control and representatives of high-risk populations.

- Provide for or contract for tobacco control activities.

- Establish a coordinated information, referral, outreach, and intake system for preventive health education against tobacco.

- Coordinate services between county service providers, government agencies, and the county office of education.

- Provide technical assistance to tobacco control service providers.

- Review county office of education anti-tobacco education plans and provide written comment to the county office of education.

- Establish a uniform data collection system in compliance with State requirements and ensure systematic compatibility and the capacity to expand their computer software and hardware systems.

- Develop a local plan and budget.

104 COMPETITIVE GRANTS PROGRAM

The Competitive Grants Program is authorized by Health and Safety Code Section 104385. The purpose of the grant program is to conduct health education and promotion activities which will reduce the number of persons beginning to use tobacco, continuing to use tobacco, or developing tobacco-related diseases. The funds may be made available to non-profit agencies for community and non-classroom efforts to reduce tobacco use.

The Competitive Grants Program funds a variety of community-based organizations implementing health education projects that are local, regional, and statewide in perspective. The program also funds the California Smokers' Helpline which provides intensive tobacco cessation counseling via the telephone, four ethnic networks, and a statewide educational materials clearinghouse.

105 REGIONAL TOBACCO EDUCATION COMMUNITY LINKAGE PROJECTS

The Regional Tobacco Education Community Linkage Initiative is authorized by Health and Safety Code Section 104465 which requires CDHS/TCS to annually set aside $3 million to "support efforts to link the statewide media campaign to local communities and to provide regional public and community relations or media initiatives." There are eleven regions and each encompasses 3 to 14 health jurisdictions.

Funding for regional team efforts help local organizations to sponsor and coordinate tobacco education, policy, and media activities that cut across traditional political, geographical, and organizational jurisdictions. This process brings together a diverse group of individuals, agencies, and organizations to work in partnership toward common regional goals.

CHAPTER 200
PROGRAM OPERATING PRINCIPLES

The TCS has developed the following program operating principles for tobacco education activities in the state.

TCS is committed to providing leadership and resources to achieve a 75 percent reduction in tobacco use in California. TCS advocates a social norm that creates a tobacco-free lifestyle and environment for all Californians. Toward these ends, TCS espouses programs that:

1. Empower local decision-making through broad-based community participation.

2. Recognize cultural diversity and maintain respect for cultural traditions.

3. Encourage innovative and multi-dimensional models for health education.

4. Create a partnership among communities, schools, worksites, health care organizations, and government.

5. Recognize individual and community rights to self-determination.

6. Recognize the likely need and be prepared for major shifts in program emphases as conditions change.

7. Recognize the critical importance of using interventions that focus on involving the family and community rather than only individuals. The programs must take into the social context of individual behavior. Individuals, whether young people or adults, interact within a vast complex of relationships, organizations, peer and reference groups, as well as work, personal growth, religious, and recreational activities.

8. Recognize the paramount importance of program cost-effectiveness. In order for programs to be replicable throughout California, they must be financially feasible. There are a number of ways cost-effectiveness can be enhanced:

    a. Institutionalize interventions into worksites, schools, community networks and the health care system.

    b. Emphasize interventions that create generational change. This is particularly important in regard to young people. We know, for example, that youth are more likely to use tobacco if their parents use tobacco. Therefore, reaching parents and other intermediaries such as coaches can help break the chain and reduce program costs over time.

c. Emphasize interventions that last. Policy development is of key importance to changing community norms about tobacco. Social norm change through organizational, community, and business policies, whether creating a smoke-free workplace or school, a community ordinance to restrict the tobacco industry, or a commitment from a community or educational institution NOT to accept tobacco industry money to support sports or cultural events, all have lasting impact on thousands of people.

d. High risk ethnic groups must be major targets of programs since they are major targets of the tobacco industry. The tobacco industry is a heavy sponsor of organizations that target these populations and is especially responsible for the proliferation of advertising directed to ethnic communities.

CHAPTER 300
TOBACCO CONTROL PROGRAM REQUIREMENTS

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#01 TOBACCO CONTROL COALITION REQUIREMENTS

Chapter 300

Adopted 2/94
Revised 1/96

1. Local lead agencies, regional community linkage projects, and ethnic networks shall establish a tobacco control coalition or integrate issues of tobacco control into an existing coalition to:

   - Obtain the participation and involvement of local community organizations with special experience and expertise in community health education against tobacco use and representatives of high-risk populations.
   - Assist in the development and implementation of community tobacco control efforts.
   - Develop and demonstrate widespread public support for issues, actions, and unmet needs.
   - Maximize the power of individuals and single groups and agencies through joint action for the purpose of creating a "critical mass."
   - Mobilize the talents and resources of multiple individuals, groups, and agencies to promote tobacco education and control strategies.
   - Provide a united voice to respond to the tobacco industry.

2. The organizational structure of the coalition is flexible and may include:

   - Forming a centralized coalition that serves the entire health jurisdiction, region or state.
   - Forming decentralized coalitions based in communities or based on issues.
   - Integrating tobacco control issues into an existing coalition.

3. Membership: Coalitions are to recruit a diverse membership and strive to include representatives beyond traditional health, education, and social service organizations. Membership should be geographically balanced and include ethnic representation comparable to the ethnic make-up of the area. Outreach should be made to include CDHS/TCS funded grantees in the coalition.

4. Coalition members shall serve without compensation but members may be reimbursed for necessary travel expenses incurred in the performance of their duties as a coalition member.

5. Tobacco control coalitions are to have formalized operating rules and procedures (e.g., by-laws) that include:

   - A description of the coalition's organizational structure;

   - A mission statement;

   - A definition of the roles and responsibilities of members, appointment to the coalition, length of membership, and meeting frequency;

   - A process for new member orientation;

   - An assessment of members, no less frequently than every 18 months, to monitor coalition functioning and member satisfaction using assessment instruments identified by CDHS/TCS or others acceptable to the coalition.

6. The chair of the coalition may not be from the administrative agency that functions as the facilitator or convener of the coalition.

7. Agencies responsible for convening the coalition are to develop a process for recruiting and orienting new coalition members.

8. Agencies responsible for convening the coalition are to periodically provide training on coalitions to members and review operational procedures with coalition members.

9. Agencies responsible for convening the coalition are to develop a mechanism for communication with the coalition to keep members fully informed.

10. Agencies responsible for convening the coalition shall provide staff, logistical assistance, training, budget support, and other assistance as needed by the coalition.

#02 HEALTH EDUCATION PROGRAM REQUIREMENTS

Adopted 2/94
Chapter 300 Revised 9/99

The following are health education program requirements which are to be used by CDHS/TCS funded agencies and their subcontractors to design and implement health education strategies. Programs are to:

1. Focus on community norm strategies which are likely to be institutionalized and to apply current research findings regarding the effectiveness of policy, media, and program strategies.

2. Focus greatest effort and resources toward the priorities of 1) countering pro-tobacco influences 2) reducing exposure to environmental tobacco smoke, and 3) reducing the demand and availability of tobacco products to youth through commercial and social sources.

3. Be comprehensive in nature and use community education, paid media, media advocacy, policy, training, mini-grants, surveys, and other activities to work in a coordinated and focused fashioned to achieve outcome oriented objectives.

4. Reflect coordination and collaboration with the efforts of local lead agency, regional community linkage projects, ethnic networks, competitive grants, and statewide initiatives.

5. Reach out to and include groups having access to, knowledge of, and experience with target groups but who are not currently involved or receive tobacco tax funding. Such groups include, but are not limited to churches, housing projects, law enforcement agencies, professional organizations, youth groups, schools, chambers of commerce, business groups, and unions.

6. Be designed with the assistance of representatives of target populations and intervention groups. They shall be conducted with the participation or support of organizations or individuals from the target populations or from organizations serving those populations.

7. Mobilize the community to demonstrate support for educational, policy, and enforcement activities. This may include: conducting letter writing campaigns, press conferences, community forums, obtaining resolutions from community groups, generating opinion editorials, meetings with key community leaders or agencies, creating new alliances with groups such as civil rights organizations, chambers of commerce, women's groups, community beautification groups, law enforcement agencies, alcohol and drug professionals, etc.

8. Build the capacity of communities to address tobacco issues through training, surveying, coalition, leadership, and media opportunities, e.g., spokesperson training, conducting surveys, provide leadership opportunities to youth, etc.

9. Identify, document and publicize the presence of tobacco-related problems and demonstrate public support for tobacco control interventions through the media. Documentation of the problem may include: youth tobacco purchase surveys, surveys of tobacco advertising, key informant interviews, intercept surveys, telephone surveys, etc.

10. Use paid media, public service announcement and media advocacy opportunities in a coordinated fashion to support national, state, regional, and local policy and educational activities.

11. Pursuant to National Cancer Institute recommendations, tobacco use prevention curricula for youth are to include the following components:

    a. Concentrate primarily on tobacco use and keep separate from other drug, alcohol, or general health issues;

    b. Contain information on the social consequences and immediate physiological effects of tobacco use, particularly that related to peers, parents, marketing, and media influences;

    c. Provide learning experiences related to decision-making, problem solving, and refusal skills;

    d. Include at least two or more sessions; and

    e. Include an evaluation.

12. Tobacco control programs are to be culturally and linguistically appropriate for the target populations and intervention groups.

13. Program evaluation shall be built into tobacco control activities and, at a minimum, 10% of the budget is to be directed toward evaluation activities. Evaluation activities are to be focused on outcomes but also may include process evaluation and formative research.

#03 EDUCATIONAL AND MEDIA MATERIALS, INCENTIVE AND PROMOTIONAL ITEMS

Adopted 2/94
Chapter 300 Revised 07/02

The following requirements apply to the use and development of: 1) educational materials, 2) media materials, 3) promotional items, and 4) incentive items developed with funds from CDHS/TCS. When all four types of materials are referenced, they will be referenced as “materials,” otherwise the type of materials will be specified as described below.

1. Examples of Materials

a. Educational materials are items such as brochures, books, booklets, curricula, tip sheets, fact sheets, posters, videos, and games.

b. Media materials are items such as television, radio, print, web, outdoor or in-store advertising. For this reference, media materials do not include such items as press releases or newspaper articles.

c. Promotional and Incentive materials are items such as T-shirts, pencils, stickers, balloons and water bottles.

2. Technical Assistance

a. Educational, Promotional and Incentive Materials

The Tobacco Education Clearinghouse of California (TECC) is responsible for coordination, review and statewide distribution of selected materials. **PRIOR** to developing educational, promotional or incentive materials, agencies **MUST** first contact the Tobacco Education Clearinghouse of California (TECC) Technical Assistance staff at 1-800-258-9090 to conduct a materials search to determine if similar, topic-related or audience appropriate materials were previously developed. This is a **MANDATORY** requirement in order for CDHS/TCS to ensure non-duplication and statewide coordination.

If the adaptation of existing materials or development of new materials is warranted, agencies are to coordinate the design, field-testing and production of educational, incentive and promotional materials with TECC. TECC will provide technical assistance on the development of the material and pre-testing of the material for accuracy, effectiveness, literacy level and cultural appropriateness.

Note: *For more extensive policy information on the adaptation of materials developed with CDHS/TCS funds, see Policy #17, Process to Request Use and/or Adaptation of Educational or Media Materials Produced with CDHS/TCS Funds.*

3. Development of Materials

All materials developed or adapted must be pre-tested with the intended target population prior to their use for effectiveness and accuracy. The pre-testing must include an assessment of literacy levels and cultural appropriateness. The use of focus groups and/or pilot testing is highly recommended. These results are to be submitted to TECC with the Materials Intake Form.

4. Acknowledgement

a. Educational Materials

Educational materials developed with CDHS/TCS funds must include the following wording, "This material was made possible by funds received from the California Department of Health Services, under contract # XX-XXXX."

b. Media Materials

Media materials (e.g., billboards, TV ads, radio ads, etc.) may have an abbreviated version of this acknowledgement, i.e., "Funded by California Department of Health Services." Media materials must acknowledge the agency that is placing the advertising.

c. Incentives/Promotions

Incentive and promotional materials may omit the acknowledgement if there is a space limitation or the attribution interferes with the image of the piece.

5. Submission Requirements

a. Progress Reports

Check List Form (Attachment B): Confirm submission of two originals of any new educational or media material developed during the report period to the Tobacco

Education Clearinghouse of California (TECC) with the corresponding TECC Material Intake Form.

Materials Development Form (Attachment F): List all media and educational materials, and promotional/incentive items developed during the report period. Attach the confirmation sheet(s) from TECC to this form verifying the receipt of these materials at TECC.

Documentation: Submit originals of educational and media materials and promotional/incentive items developed during the report period with both copies of the progress report submitted to CDHS/TCS. (For promotional/incentive items, you may include one (1) original with the original progress report and include a clear photo or photocopy of the items with the second copy of the progress report. One copy of the material is retained in the agency's permanent contract file and the second copy is filed in the CDHS/TCS Resource Room.

b. TECC Materials Intake

When a new material is created, submission **requirements** to TECC include:

- Two (2) originals;
- Completed TECC Material Intake Form (MIF) – see a copy of the MIF attached to this policy; the form is also available on the TECC web site at www.tecc.org;
- Results of pre-testing for literacy level and cultural appropriateness; and
- Copyright/distribution agreements and photo releases, if appropriate.

Additionally, submit to TECC field test results, evaluation data and translations of materials submitted in languages other than English, if available.

Note: *Pre-testing or pilot testing of the messages and images of a material being developed or adapted for effectiveness, literacy level, and cultural appropriateness with the intended audience is required by CDHS/TCS. The use of focus groups is recommended, however, one-to-one interviews or intercept surveys with the intended audience can also be used.*

The materials submitted to TECC are in addition to the materials sent in with your progress report. Materials should be submitted to TECC as they are completed. The materials are assessed by an internal TECC review process and external Materials Review Committee for inclusion in the TECC sales catalog. Materials submitted to TECC without appropriate copyright/distribution agreements and photo releases may not be considered for statewide distribution.

c. **Master Copies**

TECC or CDHS/TCS may request camera-ready artwork and/or master copies for future reproduction purposes. It is highly recommended that agencies have at least two master copies created at the time a material is developed. Each agency that employs subcontracts is responsible for submission of any subcontractor's camera-ready artwork and/or master copies if requested by TECC or CDHS/TCS.

Master copies are digital files including fonts, images and other links on zip or compact disks. The following graphic design and image software programs are preferred for the material to be considered for inclusion in the TECC sales catalog: PageMaker 5.0-6.5; QuarkXpress 4.0; Illustrator 7.0-8.0; Photoshop 3.0-5.0; and MS Photo Editor. For video masters submit BetaCam tapes.

It is highly recommended that agencies have two master copies developed; one that your agency retains and the second for TECC.

6. Contract/Administrative Issues

a. When using the consulting services of an artist, writer, or designer for the development of materials, all agencies must indicate "Work for Hire" on contracts and invoices. Please see the CDHS/TCS copyright language provided below that is to be included in all subcontracts, mini-grant and consultant agreements. This will ensure that the copyright belongs to CDHS/TCS and that CDHS/TCS has the authority to make derivative works and that no residual costs will be incurred by CDHS/TCS for additional printing or use.

> ***The following provision must be included in all subcontract agreements: "The subcontractor grants the State of California copyright interest in any Works created, provided, developed or produced under the agreement and ownership of any Works not fixed in any tangible medium of expression and agrees to assign those rights to the State. For any Works for which the copyright is not granted to the State, the State shall retain a royalty-free, non-exclusive and irrevocable license throughout the world to reproduce, to prepare derivative Works, to distribute copies, to perform, to display, or otherwise use, duplicate or dispose of such Works in any manner for government purposes, and to have or permit others to do so."***

b. All agencies must print the following on any invoices for duplication services for materials: "All _____________ (e.g.: artwork, type, electronic files, or photographic film or video/audio tape) created or submitted for reproduction is the property of the California Department of Health Services. Acceptance of this order indicates agreement of these terms."

c. If any material to be developed involves any copyright limitations (e.g., talent fees, limits on distribution, stock photography royalties), agencies must get CDHS/TCS approval prior to the development of the material.

d. When using the image or likeness of an individual in an educational or media material and promotional/incentive item, agencies must ensure that the individual has signed a consent form or photo release. Agencies shall obtain an additional consent form from the parent or legal guardian of individuals under 18 years of age.

Note: *Subcontract, mini-grant, and consultant agreements and/or photo releases must be completed and include the required CDHS/TCS copyright language even if no monetary payment is part of the transaction.*

e. Agencies are not allowed to profit from the sale of materials created through the use of CDHS/TCS funds. In some cases, agencies are allowed to recoup material duplication/distribution costs on a cost-recovery basis only. The agency must contact CDHS/TCS to obtain PRIOR APPROVAL to generate revenue or if they are considering private distribution of materials.

f. No video or portion of one, can be edited and incorporated into another educational video without the express written permission from the CDHS/TCS.

7. Content Issues

a. Educational materials are to be developed as part of an educational intervention which includes other activities, and are never to be the sole source or method of education except those designed for self-help.

b. Materials must be scientifically and technically accurate and original source information must be cited. When listing references, CDHS/TCS recommends that the guidelines of the *American Medial Association Manual of Style* (9^{th} ed.) be followed.

c. Materials must be pre-tested with the intended target group prior to their use for accuracy, appropriateness, and effectiveness. The use of focus groups for this process is highly recommended.

d. Materials must be tested for literacy levels and developed at the levels appropriate for the intended target group(s).

e. Messages must address themes based on research shown to be effective in discouraging tobacco use among the target group(s).

f. Materials may not contain offensive or misleading messages, and should not personally attack, put down, or blame tobacco users, e.g., messages may not focus on smokers as "losers."

g. Educational materials shall not be used to promote religious ideology. Tobacco education materials designed for use in a faith-based setting must have tobacco education as their primary purpose and they can neither advance nor inhibit religion.

h. No materials shall feature the image, voice, or identifiable views of any elected public official or candidate for public office.

8. Educational Incentives

a. How Incentives May Be Used: Tobacco education projects may use incentives to reinforce or motivate a change in behavior. Incentives are only to be given to participants attaining a pre-specified goal.

b. Types of Educational Incentives: Incentives can be both tangible and intangible in nature. To be most effective, both forms of incentives should be used, for example, giving a reward along with public recognition for meeting specified goals.

An example of a tangible incentive in a youth tobacco control advocacy project is to give to youth participating in surveying and media activities T-shirts, following the completion of surveying activities. An intangible incentive would be an opportunity to be featured in the media or a video about youth advocacy. Examples of a tangible incentive in a prevention intervention are: (a) the awarding of merit badges to youth participating in a series of tobacco education and empowerment activities,
or (b) awarding of gift certificates to youth participating in a prevention activity and who sign pledges to be tobacco-free for one year. In both of these examples, incentives are used to change or reinforce behaviors.

c. Limitations:

1) **Cash awards are not permitted as an incentive.**

2) **The value of an incentive is limited to $50 worth of merchandise per person per year. The award amount cannot be pooled to exceed the $50 per person per year limit; however, awards over the $50 limit may be provided by soliciting donations from the community.**

3) The value of the incentive must be commensurate with the degree of behavior change sought. As such, a significant behavior change such as quitting tobacco use and remaining tobacco-free for a 3-month period, may merit a large award with a value of $40 to $50. A less significant behavior, such as speaking with a family member about their tobacco use, should be rewarded with an incentive of more moderate value, i.e., $5 to $10.

d. Tips on Using Educational Incentives:

1) It is best to provide a series of small incentives for the initiation of intermediate changes, which could be for the reduction of smoking and given on the selected quit date. Larger incentives should be awarded after the intervention is concluded, and in the case of cessation, when the behavior change can be documented, e.g., smokefree one month after the conclusion of the cessation program.

2) Incentives can be used to motivate participants to try again after a slip or relapse.

3) Incentives may be used to motivate or reinforce institutional change, e.g., plaques may be given to businesses or worksites that support non-smoking policies or businesses that reduce the amount of tobacco advertising in their stores.

4) It is important to reinforce the behavior change or maintenance of positive behavior by clearly stating how the person earned the incentive when it was given.

5) If possible, incentives should reinforce other healthy behaviors, e.g., a pass to a recreational or cultural event, or reinforce other tobacco education efforts in the community, e.g., a gift certificate to a store that has removed its tobacco advertising.

6) The value that the target population places on the incentive item should be considered. Youth may value sports equipment, amusement or movie tickets.

9. Promotional Items

a. Promotional items are used to generate visibility and interest in the program. Promotional items may consist of buttons, key chains, hats, T-shirts, etc.

   Example: Giving visors to participants in a tobacco awareness walk-a-thon. The intent of the visor is not to facilitate behavior change, but to generate interest and enthusiasm for the program, and to perpetuate a tobacco-free lifestyle or community message when worn.

b. The value of promotional items is to be moderate or nominal in cost.

c. Agencies using promotional items should use those items in a planned manner and require some action on the part of the potential recipient, e.g, complete a tobacco industry knowledge quiz, sign a birthday card celebrating the anniversary of the city's clean indoor air ordinance, smokers sign a tobacco-free honor roll with the number of years they have been tobacco-free.

IV. DEVELOPMENT PROCESS (Attach documentation for each "yes" answer)

Design Steps

	YES	NO	
1. Outlined material goals and objectives	☐	☐	☐
2. Completed search for similar existing material	☐	☐	☐
3. Sought consultation on design (i.e., graphic artist)	☐	☐	☐
4. Pilot tested concepts with target audience	☐	☐	☐
5. Conducted a readability/literacy test	☐	☐	☐
6. Tested material for cultural appropriateness	☐	☐	☐
7. Completed an external back translation of non-English material**	☐	☐	☐
8. Field tested final material with target audience	☐	☐	☐
9. Conducted evaluation of material with target audience for effectiveness	☐	☐	☐

*****Please submit English translation***

V. COPYRIGHT AND DISTRIBUTION

Is the material part of a comprehensive campaign or program? ☐ Yes ☐ No
Are there any copyright or talent limitations associated with this material? ☐ Yes ☐ No
If yes, submit a copy of the agreement(s) with the MIF and original material.

Format of production quality Master: ____

Material development cost: $ ____________ Material duplication cost: $ ______________

Number of copies duplicated: _______ Number of copies distributed: ____________

VI. ABSTRACT

Please write a brief description and include the intended use of the material.

VII. SUBMISSION REQUIREMENTS

Submit to TECC with the Material Intake Form:

1. Two originals of the material
2. Results of pre-testing on effectiveness, readability and cultural appropriateness
3. Copyright/distribution agreement(s) and/or photo release(s), if applicable

In addition, please submit field test results, evaluation data and translation of material *if submitted in a language other than English.*

Send these items to the following address:
TECC Resource Center, 4 Carbonero Way, Scotts Valley, CA 95066

Signature of person completing form: ____

Date submitted:

#04 USE OF TCS/CDHS FUNDS FOR TOBACCO CESSATION

Adopted 1/96
Chapter 300 Revised 9/99

1. Local tobacco control programs MAY:

   a. Administer tobacco cessation programs using self-help, group, community, and media strategies;

   b. Train health care professionals or others to provide tobacco cessation services or to integrate tobacco use assessment and cessation services into the protocols of an agency with the provision that cessation services will be institutionalized by a specified date.

   c. Use no more than 10% of a local lead agencies annual budget for tobacco cessation programs.

   d. Work with and provide technical assistance to voluntary health organizations to ensure that special populations such as ethnic/racial populations, rural populations, and smokeless tobacco users are served by the cessation efforts of those voluntary health organizations.

2. Funds MAY NOT be used to fund health care professionals or lay professionals to provide **individual** tobacco cessation counseling, tobacco use prevention counseling or counseling to decrease exposure to environmental tobacco smoke in health care clinic settings, the home or at the worksite.

3. Funds for local programs MAY NOT be used to develop or administer intensive telephone tobacco cessation counseling without explicit written authorization from CDHS/TCS in order to avoid duplication of services with the California Smokers' Helpline.

4. Tobacco cessation methodologies are to incorporate the following:

   a. Elements focusing on the health and social consequences of tobacco use;
   b. Strategies and exercises aimed at quitting;
   c. Relapse prevention; and
   d. Evaluation of quit status at three, six months, and one year and annually determine the cost effectiveness of cessation activities.

5. Tobacco cessation methodologies MAY also incorporate the following (when used as an adjunct to an educational intervention meeting the tobacco cessation criteria described on the previous page):

   a. Pharmacologic interventions; however, CDHS/TCS funds may not be used to purchase nor reimburse the cost of medications.

   b. Hypnosis.

   c. Acupuncture; however, CDHS/TCS funds may not be used to reimburse staff for performing acupuncture nor for materials associated with performing acupuncture.

6. Tobacco cessation methodologies may not incorporate aversion therapy.

#05 SPONSORSHIP REQUIREMENTS

Adopted 1/96
Chapter 300 Revised 11/01

Definition of Sponsorship

- Sponsorship is a cash and/or in-kind fee paid to a property, event, or organization (typically in sports, arts, entertainment or causes) in return for access to the exploitable commercial potential associated with that property, event, or organization. It is undertaken for the purpose of achieving commercial objectives, and is not philanthropy. It promotes a company (your project) in association with the sponsee (property, event, or organization). Sponsorship is one of the four arms of marketing (advertising, sales promotion, public relations, and sponsorship). A sponsorship can also provide you with access to a live audience, on-site sampling (e.g. of anti-tobacco use materials), and opportunities to survey audiences about tobacco control issues.

- Sponsorship with respect to tobacco control is the promotion of an anti-tobacco use message to an audience attending specific events or venues in the community. The purpose of a sponsorship is to counter the tobacco industry's pro-tobacco use messages or presence in the community and to develop community goodwill for anti-tobacco use educational, media and policy activities. The tobacco control program's sponsorship dollars are to be used as an incentive for community events and/or venues to pass policies rejecting tobacco industry sponsorship and to create smoke-free events or areas. It is likely that a lot of groundwork and relationship building between tobacco control advocates in the community and an event or venue will need to be accomplished in the process of working toward such an objective.

The following are criteria for California Department of Health Services, Tobacco Control Section (CDHS/TCS) supported sponsorships. Documentation that these criteria were met must be included with progress reports. Documentation may include copies of advertising, photos of signage, copies of tobacco-free policies, and anything that shows what was received in exchange for the sponsorship. Sponsorships are subject to the review and approval of (CDHS/TCS) and may be denied if deemed to be an inappropriate use of state taxpayer monies. *Please use the checklist attached to this policy as a guideline for approving sponsorships at the local level.*

1. The project should sponsor events and/or venues in the community that the tobacco industry would be interested in sponsoring, such as racing events or racetracks, rodeos, cultural events, community festivals, special exhibits, county fairs, stadiums, or professional or minor league ballparks.

2. Youth events and activities generally are inappropriate Proposition 99 sponsorships because the Master Settlement Agreement (MSA) has already disallowed the tobacco industry from providing youth-focused sponsorships. Some exceptions may be made for rural counties where other sponsorship opportunities may not exist, or where it is evident that the sponsorship is building a relationship with the community to pursue stronger policy work in the future. These types of exceptions must be approved on a case by case basis by the Program Consultant (PC) and Contract Manager (CM) assigned to your project.

3. Health fairs are NOT sponsorships and will be denied by CDHS/TCS.

4. The project is to receive something tangible in exchange for being the sponsor. The larger the financial commitment, the larger the value the sponsor should receive, which may include large signage at the event, advertising in the event program or materials, booth space, radio or television publicity, public announcements at the event and/or cross promotions with other sponsors.

5. As the sponsor, the project should negotiate that the events sponsored with tobacco control funds be tobacco-free, or at a minimum, have designated smoking or non-smoking areas, e.g., no smoking in the carnival areas of fairs, designated non-smoking areas in the stadium at a rodeo or racetrack. Another aspect of negotiation of a sponsorship agreement might include a written non-acceptance of tobacco industry funds policy to be adopted by the event organizing body (board) or by the venue where events are held (such as a rodeo arena, racetrack grounds, or fairgrounds). Information and model policies for fairgrounds, rodeos, and other event venues are available from the Technical Assistance Legal Center or on the PARTNERS Project SMART Money webpage.

6. Tobacco control funds are not to be viewed as a long-term replacement of tobacco company sponsorships or financial support to any one individual, team, group, event, or organization. Therefore, a sponsorship is limited to two (2) years unless it is otherwise justified and receives prior approval by your PC and CM.

7. Sponsorships are typically for $1,000 - $2,000 (An exemption may be sought from the PC and CM if there are special circumstances – these will be decided on a case by case basis).

8. Any individual performer, team, group, event, organization, or venue sponsored with tobacco control funds must prominently display a large sign or banner that promotes an anti-tobacco message AND the name of the sponsor (i.e., the project or organization’s name). The project may not sponsor an event or venue that is currently receiving tobacco company sponsorship. It is possible to obtain a venue policy prohibiting tobacco sponsorship even for events that are

sponsored at the national level by a tobacco company. For example, Pro Rodeo Cowboys Association (PRCA) rodeos are sponsored nationally by Copenhagen, but if the rodeo arena in a particular city has a venue policy prohibiting such sponsorship, the Copenhagen scoreboard, flag, and banners would not be allowed into that particular arena.

9. Publicity promoting the individual performer, team, group, event, organization, or venue is to include an anti-tobacco use message AND the name of the sponsor (i.e., the project or organization's name).

10. Sponsorships must be outlined in the Scope of Work and budgeted in a separate line item labeled "Sponsorships."

Checklist for Evaluating the Likelihood of a Sponsorship Match

(Adapted from International Events Group, IEG Inc.)

Use this checklist as a guide to evaluate events or venues that you should approach in your community with sponsorship monies, or when being approached by events or organizations seeking sponsorships. This is merely a guide to help you think about what should be included in your sponsorship agreement – not every box needs to be checked, but you should think about each of the issues listed. The more boxes checked, the more likely it is that the sponsorship match will be approved by CDHS/TCS.

☐ Image Compatibility

- ❒ Does the event offer the imagery and/or lifestyle that my program is trying to establish and with which we want to be associated? *(Is it a smoke free event? Does it have smoke free areas? Does it have a high profile in the community?)*
- ❒ Are the other cosponsoring companies those with whom my program wants to be associated? *(Does the event have any continuing tobacco sponsorship? If so, the sponsorship is NOT appropriate.)*

☐ Audience Composition/Reach

- ❒ Does the event or venue attract the audience that my program wants to reach?
- ❒ Is this sponsorship opportunity in the geographic market that my program wants to impact?
- ❒ Does the audience feel a strong sense of ownership or identification with the venue or event?
- ❒ What is the extended reach of the event or venue? Are there on-site spectators? Television viewers?

☐ Ability to Leverage/Additional Promotional Opportunities

- ❒ Can my program conduct cross-promotions with appropriate cosponsors?
- ❒ Does the opportunity occur during a time that we would like extra visibility in the community? *(What other tobacco control activities are going on in the community?)*
- ❒ Is the promotional time frame of the sponsorship defined clearly, and will it meet program needs? *(Year round? One season? One event?)*
- ❒ Are there opportunities for display? *(May we have an educational booth at the event?)*

☐ Media Coverage and Recognition

- ❒ Is the event appealing – in a positive way - to the media?
- ❒ Can the event draw broadcast and print coverage?
- ❒ Will my program be recognized in that coverage?
- ❒ Can the event attract a TV or radio broadcast?
- ❒ Will my program's signage show up on the TV broadcast or be mentioned on-air?

☐ Communicate Product Attributes

- ❒ Can my program's message be worn while participants compete or perform?
- ❒ Can my program's message be showcased as a key element of the event?

☐ Efficiency

- ❒ Does the event or venue deliver to a wide audience?
- ❒ Is the relationship between the cost of sponsorship and the value received appropriate?
- ❒ Does the sponsorship's cost compare with that of similar properties?
- ❒ Is this the most cost effective means to get the results I am looking for?

☐ Measurability

- ❒ Does the event or venue conduct regular surveys or tracking studies that could be shared with my program and/or that might include questions developed around tobacco sponsorship? *(Can I include public opinion questions around the issue of tobacco sponsorship and smoke free areas within the event?)*
- ❒ Does the event or venue lend itself to measuring the reach and impact of the sponsorship you are offering? *(Do they track audience demographics? Do they collect attendance data?)*

☐ Ability to Extend

- ❒ Does the sponsorship contain spin-off opportunities? *(If I sponsor a racing team, will I have the opportunity to approach racetrack owners/operators regarding implementing smoke free areas?)*
- ❒ Is the sponsorship something my program can build upon? *(If I sponsor a Pro Rodeo Cowboy's Association rodeo that agrees to eliminate the Copenhagen scoreboard and not announce livestock names that contain tobacco brands, can I do the same for a Professional Bull Riders event at the same venue and build toward getting a venue policy passed?)*

☐ Ease of Administration

- ❒ Is the event well organized?
- ❒ Are event staff specific about what the sponsorship includes?
- ❒ Can the event/venue deliver what they have promised in exchange for the sponsorship? *(Do I have a signed board policy or venue policy in hand?)*
- ❒ Do I have staff to properly administer the sponsorship? *(Will someone attend the event to make sure we get what was agreed to and document this for the progress report? Will there be staff to conduct surveys at the event if needed? Do we need staff for an information booth?)*
- ❒ Does the event have a credible track record? *(Is it a well-established community event with a consistently large audience?)*
- ❒ Will the event/venue work with us to capitalize on the sponsorship by initiating cross-promotions via sponsorship workshops or producing post-event reports?

- ❒ Is the lead time sufficient for staff to develop materials/deliverables collateral to the sponsorship in order to maximize the effect?

☐ Risk Factors

- ❒ If the sponsorship fails to meet our objectives, can we withdraw without suffering adverse consequences, such as public dissatisfaction?
- ❒ Is the event/venue financially stable?
- ❒ Will the event/venue audience feel that our message is making a positive difference in the event?
- ❒ Have we made sure that there are no venue restrictions that might cause conflict with our program or message?

#06 MINI-GRANT PROGRAM REQUIREMENTS

Adopted 1/96

Chapter 300 Revised 9/99

These guidelines apply to those regional community linkage projects, ethnic network grantees, and other competitive grantees that fund mini-grants. These agencies have a relatively large mini-grant line item in which the grant recipients are identified and awarded through a competitive process. The mini-grant process permits regions, ethnic networks, and other competitive grantees the flexibility of awarding grants up to $5,000 without submitting a subcontract agreement to CDHS/TCS for prior approval.

1. Mini-Grants are to be awarded for short-term projects that support and enhance achievement of outcome-related objectives in the workplan or scope of work. They are to support the three-priority areas of reducing exposure to environmental tobacco smoke, reducing youth accessibility to tobacco, and countering pro-tobacco influences.

2. Mini-Grants are to be disbursed according to priorities, criteria, and a process determined by the coalition and/or administrative agency and CDHS/TCS. Funding criteria are to contain the following indicators:

   - Awards may not be made to the same agency more than twice in a 12 month period.

   - Mini-grant funds shall not be used to provide group tobacco cessation classes; individual tobacco cessation counseling, tobacco prevention, or secondhand smoke counseling; or curricular activities within public schools.

   - Awards shall not exceed $5,000 per mini-grant.

   - Mini-Grants shall not pay for personnel salaries, benefits, other overhead expenses or equipment, but may cover consultant costs and operating expenses.

   - Mini-Grants shall not supplant existing Proposition 99 funds, services, or activities.

3. Training, either in person or through teleconferences is to be provided to mini-grant applicants to ensure their understanding of the three priority areas, the prime contractor's workplan or scope of work, preferred types of interventions, and evaluation requirements.

4. The application and selection process is to provide for review of applications by an outside review group. The review process is to ensure an unbiased review of applications. Reviewers should exclude themselves from the discussion if there is a conflict of interest.

5. Regional community linkage projects and ethnic networks are required to make funds available on a monthly or bi-monthly basis. This requirement is necessary to ensure there is a flexible funding mechanism that can rapidly make money available in response to tobacco industry activities or to capitalize on opportunities within the region or community.

6. Agencies making mini-grants awards are to determine if the mini-grant applicant is currently funded by CDHS/TCS in the application process and contact CDHS/TCS to ensure that the agency is not proposing to duplicate services for which it is already receiving funding.

7. Agencies should ensure an equitable geographic distribution of mini-grant funds, to be monitored by, at a minimum, quarterly reports to the coalition or advisory board, which summarize the distribution of mini-grant funds. The summary is to describe the county/city, the agency funded, the award amount, and the activities to be implemented. This is a requirement in order to ensure oversight to the mini-grant process and to ensure an equitable distribution of mini-grant funds.

8. Agencies are to include in their progress reports information relating to mini-grants awarded during the progress report period. Information is to include the mini-grant recipient's agency name, award amount, term of award, and a brief description of activities to be performed.

#07 YOUTH TOBACCO PURCHASE SURVEY REQUIREMENTS

Adopted 1/96
Chapter 300 Revised 9/99

The following requirements shall be followed by agencies when conducting youth tobacco purchase surveys:

1. Agencies may use either consummated buys or attempted buys for conducting youth tobacco purchase surveys. A list of the pros and cons of each of these formats can be found immediately following this policy.

2. Agencies which conduct consummated purchase surveys must first obtain immunity from prosecution under Penal Code 308 for youth volunteers to conduct the survey from your county's District Attorney, Chief of Police or County Sheriff. For those who conduct attempted purchases, you **do not** need to obtain immunity from prosecution for youth volunteers. As a courtesy and for safety purposes you still need to get support from and coordinate with local law enforcement.

3. Agencies should notify one another and coordinate youth tobacco purchase surveys conducted in the region with local lead agencies, the regional community linkage project and other competitive grantees as appropriate to avoid confusing the local law enforcement agencies and the media.

4. TCS is to be notified of the date and locations prior to tobacco purchase surveys being conducted in an area.

5. Youth participating in the purchase surveys should preferably be between 15 and 17 years of age and include an approximate equal gender representation. Efforts must be made to ensure appropriate ethnic representation to match the communities being surveyed.

6. Teens must be trained (minimum of one hour) on the survey protocol.

7. Safety of the youth participants must always be placed first and appropriate safety measures followed at all times.

8. Informed consent and a liability waiver must be obtained from all adult and youth survey participants prior to their participation in any survey activities. Documentation of valid California driver license is required of all adult drivers.

9. Agencies are required to use CDHS/TCS protocols and procedures for conducting youth tobacco purchase surveys including the youth purchase survey instrument, forms, and data collection procedures (for consummated or attempted purchase surveys).

10. The agency shall develop a random sample of retailers (to include grocery stores, gas/convenience stores, liquor stores, convenience stores, drug stores/pharmacies, gas stations only, restaurants, and others) for self-selected geographic area to be surveyed. CDHS/TCS may be contacted for assistance in generating a random or lists, and for sample size. A replacement list will also be generated. Stores may be contacted prior to the survey to confirm their correct address, and that the store sells tobacco, however, precautions must be taken not to alert the store of an upcoming purchase survey.

11. Results of the purchase survey should be disseminated to policy-makers, including local elected officials and community leaders, through media channels (press conferences, news releases, press kits), and other appropriate mechanisms to generate support for action to decrease youth access to tobacco. Results should be posted on PARTNERS.

12. A report of the results is to be sent to CDHS/TCS, and is to include, at a minimum: purchase protocol, survey instrument, survey methodology, buy rate for each area surveyed, and barriers/facilitating factors in conducting the survey.

13. Agencies shall submit a copy of survey data on disk to TCS within one month following completion of the survey. The preferred format for submitting data is on Epi-Info or in ASCI format.

14. Stores surveyed may be contacted following purchase survey to provide feedback (letters of congratulations or disappointment). Educational activities directed to merchants who illegally sold tobacco to youth following a purchase survey include: distribution of merchant education materials, in-store visits, merchant education training, and other.

SIDE BY SIDE COMPARISON
OF
CONSUMMATED -VS- ATTEMPTED YOUTH TOBACCO PURCHASE SURVEY

Consummated		Attempted	
Pros	Have evidence of a sale and more accuracy. Cigarette pkgs. can be used in press conferences. More closely duplicates the real situation. Youth don't have to be embarrassed by coming up short on money. Helps build commitment among youth volunteers when they see the actual purchases. Disposal of tobacco products can be turned into an advocacy activity by mailing them back to the tobacco companies as gifts of death. Can collect Marlboro Adventure miles and Camel bucks to obtain promotional items for other educational activities.	**Pros**	Easier to obtain law enf. permission. Well received by media because youth stopped the buy. Don't have to spend money on tobacco products. Don't have to track money during the "buys." Philosophically more acceptable to some adults because you aren't encouraging youth to "break the law."
Cons	Have greater difficulty obtaining local law enf. permission for surveys. Some people perceive it as encouraging young people to break the law. Have to budget for buying tobacco although the cost goes down as sell rates are reduced. Have to handle money during "buys" and track it. Budget has to include cost of purchasing tobacco	**Cons**	May tip retailers off that this is a survey. Youth may be embarrassed. Don't have hard evidence of the buy. The picture for the media is less dramatic without the cigarettes pkgs.

#08 USE OF PROPOSITION 99 FUNDS FOR ENFORCEMENT ACTIVITIES

Chapter 300 Adopted 1/96

1. Proposition 99 funds may not be used for law enforcement activities. They can only be used for purposes specified in the statute. Law enforcement is not within the scope of any of the specified purposes as detailed below.

2. California Revenue and Taxation Code Section 30122 authorizes use of Proposition 99 funds as follows:

   "(a) The Cigarette and Tobacco Products Surtax Fund is hereby created in the State Treasury. The fund shall consist of all revenues deposited therein pursuant to this article. Moneys in the fund may only be appropriated for the following purposes:

   (1) Tobacco-related school and community health education programs.

   (2) Tobacco-related disease research.

   (3) Medical and hospital care and treatment of patients who cannot afford to pay for those services, and for whom payment will not be made through any private coverage or by any program funded in whole or in part by the federal government.

   (4) Programs for fire prevention, environmental conservation; protection, restoration, enhancement, and maintenance of fish, waterfowl, and wildlife habitat areas; and enhancement of state and local park and recreational purposes.

   (b) The funds consist of six separate accounts as follows: ....

   (6) The Unallocated Account, which shall be available for appropriation for any purpose specified in subdivision (a)."

Continued Next Page

3. Law enforcement activities which MAY NOT be funded include, but are not limited to:

- Inspections or stings conducted for the purpose of determining compliance with local, state or federal law and issuing a penalty or fine (This should not be construed to mean that Proposition 99-funded programs cannot conduct surveys or evaluation activities to determine compliance with tobacco-related laws);

- Legal fees; and

- Fees associated with due process, court hearings or administrative hearings.

4. Proposition 99 funds MAY be used to:

- Motivate appropriate agencies to conduct enforcement activities;

- Train enforcement agency staff;

- Educate violators of tobacco-related laws;

- Provide educational warning letters, educational materials and signs describing tobacco-related laws;

- Train business owners and employees; and

- Generate or demonstrate public support for enforcement of tobacco-related laws.

#09 COMMUNICATIONS SYSTEM REQUIREMENTS

Adopted 1/96
Chapter 300 Revised 11/00

CDHS/TCS funded agencies are responsible for coordinating information, referral, and outreach efforts.

1. Agencies are required to subscribe to CDHS/TCS's computer network system known as PARTNERS (See Policy #16) and log on to the web site at least once per week. Agencies are also encouraged to use PARTNERS as a means to disseminate information about their activities and solicit assistance from other PARTNERS users via the Strategy Exchange. To this end, agencies must have access to the Internet and email.

2. Agencies are to widely publicize and promote the California Smokers' Helpline to the public, health care providers, worksites, schools, and others.

3. Agencies are to tag educational and media materials with the California Smokers' Helpline telephone numbers, as appropriate. Contact the Helpline prior to any mass media promotion of the Helpline telephone numbers so that the Helpline can plan ahead and handle the increase in calls resulting from your promotion.

English	1-800-NOBUTTS (adults & teens)	Hearing Impaired	1-800-933-4TDD
Spanish	1-800-45-NOFUME	Vietnamese	1-800-778-8440
Korean	1-800-556-5564	Cantonese/Mandarin	1-800-400-0866
Smokeless Tobacco	1-800-844-CHEW		

4. Local lead agencies should develop a resource directory of tobacco education and control services within the local health jurisdiction and provide this information to the California Smokers' Helpline annually.

#10 TRAINING AND TECHNICAL ASSISTANCE REQUIREMENTS

Adopted 2/94
Chapter 300 Revised 9/99

1. CDHS/TCS funded agencies may provide training and technical assistance on a variety of issues including: policies to control exposure to environmental tobacco smoke, youth access to tobacco, exposure of youth to tobacco advertising and promotions; spokesperson and leadership development; grantsmanship; identification of how to find alternative sources of funding for community events other than the tobacco industry; program planning, evaluation; development of the capacity to manage programs; data collection; and other areas of concern.

2. A key goal of training and technical assistance should be to build the capacity of the agency, organization, individual or institution to plan, implement, and evaluate tobacco use prevention and reduction activities.

3. Local lead agencies are responsible for providing training and technical assistance to agencies, organizations, businesses, worksites, cities, law enforcement agencies, retail groups and others who are involved in tobacco use prevention and reduction activities. LLAs may also be called upon to assist TCS funded grantees with both programmatic and administrative issues.

4. Regional Community Linkage Projects are responsible for providing/coordinating region-wide training to TCS funded grantees as determined by a formalized assessment of need, the availability of local and state resources and LLA and TCS funded grantee current and future workplans/scopes of work.

#11 USE OF CDHS/TCS MEDIA MATERIALS

Chapter 300 — Adopted 2/94, Revised 07/02

PRIOR to developing media materials, contact the Tobacco Education Clearinghouse of California at 1-800-258-9090, the (CDHS/TCS) Media Unit at (916) 327-5427, and the federal Centers for Disease Control and Prevention, Office on Smoking and Health (CDC/OSH) to determine if there are already materials available which are appropriate for the targeted audience and advertising strategy. This is a **MANDATORY** requirement and must be documented in progress reports submitted to CDHS/TCS.

Statewide Media Material

CDHS/TCS, Media Unit makes materials available to local lead agencies and regional community linkage projects. These media materials include radio and television public service announcements (PSAs), billboards, print materials, and paid radio and television commercials, including ethnic and language-specific materials.

The State has entered into agreements with Screen Actors Guild, American Federation of Television and Radio Artists, and the CDC/OSH. These agreements govern the availability and use of broadcast media. The State's paid radio and television commercials and PSAs cannot be used unless payments to and contract renewals with the actors and musicians (talent) are current. Use of CDHS/TCS commercials and PSAs must be authorized by the State within strict timeframes to avoid penalty payments, for which the agency could be held liable. Therefore, the State must monitor the distribution and usage of its radio and television advertisements. As funding levels and advertising plans are subject to change, local lead agencies and regional community linkage projects must check continually with CDHS/TCS to confirm availability of broadcast media.

Prior media campaigns' advertisements have been transferred to CDC/OSH. Through their advertising contractor, CDC/OSH now maintains the talent payments and contract renewals for these advertisements in order to make these advertisements available to other states. Advertisements from the current California Statewide Campaign, as well as selected advertisements from prior campaigns, will be available directly from the State. Agencies should allow extra time in their media schedules when advertisements maintained by CDC/OSH are requested.

Following are the general requirements for using *all* materials:

1. Before requesting any media materials from CDHS/TCS, agencies shall develop a media plan,

in coordination with the region, and submit it to CDHS/TCS, Media Unit, with a copy furnished to your CDHS/TCS health education consultant. The media plan shall include:

- the strategy of the advertising/media
- the media to be utilized (e.g., television, magazines, direct mail)
- profiles of the media audience (who watches, listens, or reads, and where and when)
- placement schedules (time periods during which each advertisement will run, and where it will run)
- other agencies plans for tobacco control ads within the same market area
- plan for coordinating media placement with other local agencies and the State

2. Use of materials must be coordinated with the other tobacco education agencies (e.g., regional community linkage projects, local lead agencies, and competitive grantees) operating within the same media market, as well as CDHS/TCS, Media Unit. Changes in the level and targeting of advertising often have a strong impact on the number of requests from the public for information and materials, complaints, as well as utilization of the State's toll-free numbers for tobacco use cessation and other programs. The State must be allowed sufficient notice in order to ensure staff and resources are available in response to shifting demands. In addition, thorough and consistent coordination will avoid ineffective duplication of efforts and ensure that advertising in all regions will be mutually supportive of program goals, cost-effective, and as widely distributed as possible.

3. The "tag" identifying the agency and/or sponsor and helpline number, if applicable, should be used consistently throughout each media market. See Policy #03, Item 4, for information regarding "tagging" of media materials.

4. Media materials should be chosen to reach the targeted audience cost-effectively. Consult the CDHS/TCS and TECC advertisement summaries, the CDC/OSH, and local media research data in order to determine the best placement and type of media.

5. Local lead agencies and regional community linkage projects are encouraged to promote media materials for use within news or feature stories. There are no restrictions or talent payments associated with incorporation of an advertisement into a news or feature report.

6. The media materials shall not be used for the promotion of any for-profit product, service, or business. No admission fee may be charged for admittance to a presentation of any advertisement. Advertisements shall not be incorporated into a curriculum or media production, such as an educational video. Requests for these types of use must be referred to CDHS/TCS. Small group presentations of an informative nature are allowed.

7. Agencies shall maintain detailed records of distribution of PSAs and paid commercials.

Public Service Announcements (PSAs)

Specific requirements for using the State's PSAs are as follows:

1. PSAs may only be used for broadcast on a public service basis, that is, on donated media time.

2. PSAs shall not be altered or edited in any way.

3. A "tag" (printed titles and/or voiceover) can be added to the PSA, within the space and time allowed.

4. Agencies may copy the PSAs only for broadcast use on a public service basis. Agencies shall not distribute the PSAs to other agencies or organizations. Requests from other agencies and organizations must be referred to CDHS/TCS.

Paid Radio and Television Commercials

The following requirements govern the use of the State's paid radio and television commercials:

1. Commercials shall be aired in their entirety and shall not be altered or edited in any way.

2. A "tag" (printed titles and/or voiceover) can be added to the paid commercial within the space and time allowed. The tag should include information stating who is paying for the commercial broadcast time. The State recommends, "Paid for by [organization's name], funded by the California Department of Health Services."

3. The commercial must be aired on a paid basis only, that is, on purchased media time.

4. Payment for any media time purchased by the agency or its designee shall be the responsibility of the local lead agency or region.

5. It is essential that agencies coordinate talent payment of the State media campaign. Agencies planning broadcast ads are responsible for paying all talent fees. However, in some cases, talent payment may not be needed. For example, the State's media campaign is using the advertisement and paying talent.

6. Agencies may copy paid commercials only for paid broadcast. Agencies shall not distribute paid commercials to other agencies or organizations. Requests from other agencies and

organizations must be referred to CDHS/TCS.

Billboards and Print Materials

1. Payment for billboard and print advertising space purchased by the agency or its designee shall be the responsibility of the agency.

2. The State's billboards and other print materials are produced in limited quantities. Costs associated with sniping (adding helpline/sponsor information to a billboard or print advertisement), shipping, and additional print runs may be the responsibility of the agency.

To Request CDHS/TCS Media Materials:

To request media materials, send a fax on your agency letterhead to Kurt M. Fowler at (916) 322-2189. Include your media plan and as much of the following information as possible:

- title and/or description of the advertisement
- where the ad will air or appear
    - number and locations of billboards or newspapers, or
    - number, locations, and call letters of stations
- if outdoor or print, the size(s) needed
- period of time when the ad will run
- local tag copy, if applicable

For Assistance

1. To coordinate media efforts, call Kurt Fowler of the TCS Media Unit at (916) 327-5427 or email Kurt at kfowler1@dhs.ca.gov.

#12 LOBBYING POLICY

Adopted 2/94
Chapter 300 Revised 4/96

CDHS/TCS engages in and funds policy and advocacy activities which are legitimate tools of health education, health promotion, and public health. TCS funds **are not,** and **may not** be used to support lobbying activities.

Lobbying is communicating with a member or staff of a legislative body, a government official or employee who may participate in the formulation of the legislation, or the general public with the specific intention of promoting a yes or no vote on a particular piece of legislation. Such communication is considered lobbying only if its principal purpose is to influence legislation.

Educating legislators, their staff, government employees, or the general public about your program or about tobacco-related issues is **NOT** considered lobbying.

#13 COORDINATING WITH SCHOOLS

Adopted 2/94
Chapter 300 Revised 9/99

Although schools and health departments receive separate funds for tobacco education, there should be a coordinated effort in the delivery of programs targeting youth in schools and the community in order to create a comprehensive approach. It is suggested that as appropriate to your agency's workplan or scope of work that your agency:

1. Develop a communication system and partnership with the county offices of education, and to the degree possible, with local school districts.

2. Designate a member of its staff as a liaison with the schools.

3. Help facilitate the enforcement of tobacco-free school policies.

4. Collaborate with schools on the following types of activities:

   - Train facilitators to provide tobacco cessation services for students, faculty and non-credentialed staff. Promote use of the California Smokers' Helpline with schools.
   - Conduct out-of-classroom educational programs and after-school programs.
   - Conduct parent participation programs.
   - Co-sponsor special events, e.g., Great American Smoke-out.
   - Co-sponsor speech contests, youth press conferences.
   - Coordinate a special edition of school newspapers covering tobacco issues and provide recognition (a.k.a. "Pulitzer prize") for the best story and photojournalism story.
   - Co-develop educational or media materials.
   - Purchase advertising space in high school yearbooks or newspapers.
   - Coordinate surveillance activities on youth tobacco use, youth access to tobacco and

tobacco advertising and promotional cues in the community which target youth.

- Provide joint training for youth, teachers, parents, and youth serving community based organizations.

- Develop a speakers' bureau.

- Collaborate on youth empowerment activities, e.g, a letter writing campaign or interviews conducted by youth and linked with community activities and leaders.

- Jointly conduct a county youth conference.

- Coordinate community service events, e.g., reforestation activities in areas resulting from cigarette caused fires, collecting and tabulating tobacco product-related litter, etc.

- Recruit students for participation in tobacco-related survey and compliance check activities.

#14 USE OF CDHS/TCS FUNDS IN SCHOOL SETTINGS

Chapter 300 Adopted 2/94

The following requirements apply to the use of CDHS/TCS funds in schools.

1. CDHS/TCS funds cannot be used for the development or implementation of **in-classroom** curriculum in public schools.

2. CDHS/TCS funded projects may supplement ongoing California Department of Education (CDE) funded curriculum programs in the classroom, or provide extra-curricular activities for which CDE funding is not available.

3. In private schools, funds cannot be used to directly benefit the school or assume the schools' responsibility to provide tobacco control education.

4. CDHS/TCS funded programs proposing curricular activities in public classrooms must obtain a letter from the individual school, school district, or county office of education in which the program will be presented. This letter must:

    a. Describe the current CDE tobacco education curricula; and

    b. State how the CDHS/TCS funded project will supplement the CDE funded activities and curricula.

#15 USE OF PROPOSITION 99 FUNDS IN THE ENFORCEMENT OF MINORS' POSSESSION OF TOBACCO {Penal Code Section 308(b)}

Chapter 300

Adopted 6/97
Revised 9/99

Effective January 1, 1997, an amendment to Penal Code Section 308(b) added "possession" of tobacco as an illegal act for minors, along with purchasing or receiving tobacco products. Upon conviction, youth under 18 years of age can be fined $75.00 or given 30 hours of community service work. This legislative change seems to have stimulated interest by local law enforcement and schools to enforce youth tobacco possession. However, many leading tobacco control experts agree that penalizing youth for possessing tobacco is not a desirable policy option (Wasserman and Jacobson, 1997). It is important that efforts to reduce the access and use of tobacco by youth are part of a **comprehensive approach** that targets tobacco retailers, tobacco marketing tactics, social source venues, and include policy options.

The following guidelines clarify the appropriate use of Proposition 99 funds regarding enforcement of the youth tobacco possession law.

The California Department of Health Services/Tobacco Control Section (CDHS/TCS) does not fund school-based or community-based diversion programs (e.g., alternative education programs to suspension for tobacco use on campus). This includes community service activities for youth cited for smoking or possessing tobacco products. The reasons for this are:

A. Diversion and required community service programs are not consistent with TCS' overall program strategy of focusing on community norm change rather than individual behavior change.

B. Community-based diversion and required community service programs are punishment resulting from a law enforcement action. As stated in the Policy Section of this manual, Proposition 99 funds may not be used for law enforcement activities.

C. There is no evidence that diversion or mandatory community service programs are an effective strategy to reducing youth smoking rates or decreasing illegal tobacco sales to minors. Leading scientific health organizations do not endorse these strategies. (See attached bibliography)

D. CDHS/TCS found that peer reviewed literature to date does not demonstrate that mandated participation in tobacco diversion programs or required community service either significantly impacts youth cessation rates among those participating, or reduces youth uptake of tobacco.

E. The Department of Education specifically funds school-based youth cessation programs.

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#16 PARTNERS COMPUTER NETWORK SYSTEM

Chapter 300 | Adopted 09/98 | Revised 07/02

The **PARTNERS** (**P**olicy **A**dvocacy **R**esource **T**obacco **N**etwork **E**ducation **R**esponse **S**ystem) **web site network** is a statewide electronic communication system, developed to link the California Department of Health Services, Tobacco Control Section (CDHS/TCS) and its contractors.

Technical and administrative support for the PARTNERS web site is provided by ETR Associates/Tobacco Education Clearinghouse of California (ETR/TECC), under Grant Number 99-85314 with the California Department of Health Services, Tobacco Control Section.

The **goal of PARTNERS** is to provide an efficient and timely communication system for CDHS/TCS to communicate with its contractors and for projects to share resources and expertise in program and policy development and implementation. In addition, PARTNERS provides a forum for planning and strategizing across the state, maximizing resources, avoiding duplication of effort, and enhancing agency capability. The system allows TCS-funded projects throughout California to share information, educational materials, program and training resources, and planning strategies. **All CDHS/TCS funded projects in California are required to participate in the network and log on to the web site at least once per week.** Technical assistance is provided to assist users with accessing and using PARTNERS and can be obtained via email at partners@tcspartners.org or via phone at (916) 323-4579.

The two main components of the PARTNERS web site are **TCS Update** and the **Strategy Exchange**. There are many other features on the web site (including news, online forms, lists, links to other sites and various resources), but projects are expected to access these two specific features on a weekly basis.

TCS Update contains announcements concerning trainings, conferences, forms, current events, trends in tobacco control, etc. TCS Update is posted every Monday. Users can access the current TCS Update from the Main Menu. Previous week's issues are available by clicking on Back Issues of TCS Updates.

The **Strategy Exchange** is the user-driven portion of PARTNERS. Users can read and post messages on this electronic bulletin board system. Projects are strongly encouraged by CDHS/TCS to post messages on this system, in order to share their knowledge and experience with other projects. Common types of messages include: requests for information, upcoming events, job postings, executive summaries of reports, recent successes and failures, helpful resources, etc. Messages can be posted in the current month or under special topic areas.

Subscription (Membership) Requirements:

PARTNERS is a password-protected web site for TCS-funded projects. Users must submit an online application and agree to abide by the Membership Agreement. Once the application is approved by TCS, new members are assigned a unique Username and Password and notified by e-mail**. Usernames and Passwords are individual specific and must not be transferred, reassigned or shared.** There is **no cost** to the project for enrollment in the PARTNERS network, and **any number of users** may be enrolled. New project directors can access the online application at the following URL: **http://www.tcspartners.org/registration.htm.**

Agencies are required to maintain a PARTNERS account and log on to the web site at least once per week. Agencies are also encouraged to use PARTNERS as a means to disseminate information about their activities and solicit assistance from other PARTNERS users via the Strategy Exchange.

Each project's PARTNERS use and their Strategy Exchange postings are reported to TCS on a biannual basis. Each project receives a quarterly PARTNERS Use Grade (via e-mail), based on the number of weeks which at least one person from their project accessed PARTNERS.

System Requirements for new purchases:

Minimum Hardware Specifications:

Processor:	1.6 MHz Pentium IV-class
Hard Drive:	20 Gigabyte
RAM:	256 Megabyte
Monitor:	17"
Printer:	Hewlett Packard LaserJet printer (a network printer, if multiple users will be connected to a local area network)
Modem:	V.90/56K (or LAN-based internet access)
Peripherals:	3.5" Floppy, CD-ROM
Network Card:	Only if required for local area network access
Keyboard:	Standard or ergonomic
Mouse:	Standard or ergonomic
Graphic Card:	Standard with system (no upgrades)
Sound Card:	Standard with system (no upgrades)
Speakers:	Standard with system (no upgrades)
CD ROM Drive:	Standard or Read-Write (CD-RW)
Removable Media:	Jaz or Zip Drive (optional)

Allowable with
justification only: Scanner, Digital Camera

Recommended Software Specifications:

Operating System:	Microsoft (MS) Windows 98SE/2000/or XP
Word Processing:	MS Word 97 (as part of Office 97 Professional Suite)*
Spreadsheet:	MS Excel 97 (as part of Office 97 Professional Suite)*
Database:	MS Access 97 (as part of Office 97 Professional Suite)*
Browsers:	MS Internet Explorer v. 6.0
AntiVirus Software:	Required (any brand)

*If MS Office 97 Professional is not available as part of the computer package, MS Office 2000 or Office XP Professional may be purchased instead. However, you will be required to submit electronic files to TCS in MS Office 97 format.

Other Requirements

Email Address
Internet Access

In addition to the above requirements, if the computer purchased will be connected to your agency's existing local area network, you will need to contact your network administrator for appropriate network software and connectivity issues/problems.

Note: Any recommendations above are based solely on achieving a higher level of compatibility with the equipment and software used by the Tobacco Control Section. They do not constitute product endorsements.

#17 PROCESS TO REQUEST USE AND/OR ADAPTATION OF EDUCATIONAL OR MEDIA MATERIALS PRODUCED WITH CDHS/TCS FUNDS

Chapter 300 | Adopted 9/99
Revised 07/02

The State of California owns the copyright on educational and media materials developed with funds from CDHS/TCS. (In the case of materials developed by Local Lead Agencies {LLA}, the copyright is jointly owned). Following is the procedure to request the use of and/or adaptation of materials by an agency other than the agency that produced the material.

1. **Requests Concerning Statewide Media Campaign Materials:** Contact the Centers for Disease Control and Prevention's (CDC) Media Campaign Resource Center for Tobacco Control at (301) 231-7537 (Cygnus Corporation) for requests to use advertising materials developed by the CDHS/TCS Statewide Media Campaign. Ads from California are periodically transferred to the CDC Media Campaign Resource Center. Your agency will be responsible for paying fees associated with changing the tagline and paying the talent fees associated with the use of the ads selected. Requests to use the public relations materials developed by the CDHS/TCS Statewide Media Campaign or questions regarding ads developed by CDHS/TCS should be directed to Kurt Fowler, Media Analyst, CDHS/TCS at (916) 327-5429.

2. **Requests Concerning Educational and Media Materials Produced in Whole or in Part with Competitive Grantee Funding:** This includes Competitive Grantees, Regions, Ethnic Networks, the Helpline, the Clearinghouse and any other statewide projects funded with Competitive Grantee Funds.

    a. Requests from a Government Agency, American Cancer Society, American Heart Association or American Lung Association Affiliate

    1. Make a Written Request: Direct the written request to the CDHS/TCS Local Programs Unit staff person assigned to work with the contractor that developed the material and provide a copy of the request to the CDHS/TCS Contract Manager assigned to the contract that developed the material. The letter is to describe: a) the product, b) how it will be used, and c) any modification the requestor would like to make.

a) Tagline: If the request is simply to change the tagline on a brochure, poster, or ad to identify the requestor agency's name, CDHS/TCS will generally grant permission for this. If the request concerns a material that might involve the use of "talent fees" or other special conditions, CDHS/TCS will generally grant permission provided the requestor includes a letter from the agency that originally produced the material which indicates there is no issue with the "talent fees" or other conditions, e.g., a special work of art or photograph.

b) **Modifications to a Brochure:** Permission will generally be granted to adapt or modify brochures. The standard funding acknowledgement is not required of agencies that are using the material outside of California.

c) **Modifications to a Video**: Permission will not generally be granted to modify videos or to incorporate footage of an existing video into a new "work." Any request to do so will be forwarded to the Chief of Program Services, CDHS/TCS for a secondary review and decision.

d) **Modifications to a Training Curricula:** Permission will not generally be granted to modify or incorporate a curricula into a new "work." Any request to do so will be forward to the Chief of Program Services, CDHS/TCS for a secondary review and decision.

e) **Modifications to a Poster:** Permission will not generally be granted to modify or incorporate a poster into a new "work." Any request to do so will be forward to the Chief of Program Services, CDHS/TCS for a secondary review and decision.

b. Requests from Other Non-Profit Agencies or from For-Profit Agencies

1. Make a Written Request: Direct the written request to the Chief of Program Services, CDHS/TCS. The letter is to describe: a) the product, b) how it will be used and distributed, c) price if applicable, and d) any modification the requestor would like to make.

2. Restrictions: Restrictions generally will be similar to those cited above. A gift of public funds "for the profit of an agency will be considered and avoided" in any request.

3. Educational or Media Material Produced in Whole or in Part with Local Lead Agency Funding

Seek permission directly from the LLA that produced the educational or media material to use or modify the material. This includes materials developed by subcontractors of LLAs.

4. Cost of Providing or Modifying Materials

Any agency granted permission to use or modify educational or media materials developed with funds from CDHS/TCS is to bear the cost associated with the use or modification of the material. CDHS/TCS-funded projects, including the Tobacco Education Clearinghouse of California may bill agencies for providing a duplicate set of camera-ready materials and should not become involved in working or negotiating with a printer, graphic artist or talent agency on behalf of the requesting agency.

#18 PC 308(a) OPERATIONS GUIDELINES

Chapter 300 Adopted 01/02

The following minimum standards shall apply to all decoys working with members of designated agencies engaged in undercover activities pertaining to PC 308(a) enforcement.

1) All decoys shall be less than 18 years old at the time of any undercover decoy operation. The decoy shall display an appearance consistent with their age (less than 18 years old) and environment.

2) A photograph or video recording will be taken immediately prior to or at the time of the operation for the purpose of recalling the decoys appearance at this time. The photograph and/or video recording will be retained by the agency supervising the decoy operation.

3) A decoy shall carry his or her own identification showing their correct date of birth or not carry any identification. A decoy who carries identification shall present it upon request to any seller of tobacco products.

4) Enforcement agencies may require decoys to respond truthfully to the seller if verbally asked their age or they may allow the decoy to verbally respond that they are 18 years of age.

5) A decoy shall be supervised by an adult regularly employed peace officer or other adult authorized statutory authority at all times during the operation.

6) The designated agency may use recording equipment, including video, audio, photographic and other audio/visual recording equipment, to record and document an operation.

7) Upon completion of the decoy operation, the designated agency may notify the owner or owner's agent of the operations results.

#19 NON-ACCFEPTANCE OF TOBACCO COMPANY FUNDS

Chapter 300 Adopted 07/02

In order to receive funds from the California Department of Health Services, Tobacco Control Section (CDHS/TCS), contractors must comply with the following:

Universities/Colleges Only

The Principal Investigator of the university or college cannot receive funding from or have an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company within the last five (5) years prior to the start date of the contract period. In addition, the Principal Investigator of the university or college will not accept funding from or have an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company during the term of the contract from CDHS/TCS. See attached partial list of tobacco company subsidiaries.

All Other CDHS/TCS Contractors

The contractor will not accept funding from or have an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company during the term of the contract from CDHS/TCS. See attached partial list of tobacco company subsidiaries.

Contractors are required to sign and submit the "Certification of Non-Acceptance of Tobacco Funds" form as part of the Request for Application process. The certifications are on file at CDHS/TCS. See attached sample of the certification form. Violation of this CDHS/TCS policy during the term of the contract may result in termination of the contract.

PARTIAL LIST OF TOBACCO COMPANY SUBSIDIARIES

This list is not a comprehensive resource and should be not relied upon to be complete or correct since changes in corporate and product ownership commonly occur.

Parent Company: Philip Morris Incorporated, Philip Morris International, Inc., Kraft Foods, Inc., and Miller Brewing Company.

KRAFT FOODS, SELECTED BRANDS

Coffee: Maxwell House, Sanka, Yuban, General Foods, International Coffees, Maxim, Starbucks

Soft Drinks: Country Time, Crystal Light, Kool-Aid, Tang, Capri Sun

POST Cereals: Alpha-Bits, Banana Nut Crunch, Blueberry Morning, Cranberry Almond Crunch, Frosted Shredded Wheat, Fruit & Fiber, Golden Crisp, Grape-Nuts, Grape-Nuts O's, Great Grains, Honey Bunches of Oats, Honeycomb, Honey Nut Shredded Wheat, Natural Bran Flakes, Oreo O's, Pebbles, Raisin Bran, Shredded Wheat, Shredded Wheat 'n Bran, Spoon Size Shredded Wheat, Toasties, Waffle Crisp, 100 percent Bran

Condiments & Sauces: Kraft mayonnaise, Kraft barbecue and grilling sauces, Miracle Whip, Bull's-Eye barbecue and grilling sauces, Kraft Sauceworks cocktail, horseradish, sweet 'n sour and tartar sauces.

Confectioneries: Altoids mints, Callard & Bowser toffees, La Vosgienne, Toblerone and Tobler chocolates

Dry Desserts: D-Zerta, Jell-O, Minute brand tapioca

Dry Grocery: Baker's chocolate and coconut, Calumet baking powder, Oven Fry coatings, Shake 'N Bake, Sure-Jell and Certo pectins

Ethnic Foods: Taco Bell dinner kits, salsa and meal components

Meals/ Side Dishes: Kraft macaroni & cheese, Minute rice, Stove Top stuffing mix, Stove Top Oven Classics, Velveeta shells & cheese

Salad Dressing: Good Seasons mixes, Kraft, Seven Seas

Snacks: Handi-Snacks, Kraft

Toppings: Dream Whip whipped topping mix, Kraft dessert toppings, Cool Whip

Cheese:

Parmesan/ Romano: Kraft, Kraft Free, Di Giorno

Natural: Kraft, Cracker Barrel, Harvest Moon

Processed American Cheese: Kraft Deluxe, Kraft Singles, Kraft Super Slice, Kraft Cheeze Whiz Light n' Lively, Old English, Velveeta

Cream Cheese: Philadelphia, Philly Flavors, Temp-Tee

Other Cheeses: Athenos, Churny, Di Giorno, Hoffman's, Polly-O

Dairy Products: Breakstone's sour cream, cottage cheese and dips, Breyers yogurt, Jell-O yogurt, Knudsen sour cream and cottage cheese, Light n' Lively low-fat cottage cheese, yogurt, Sealtest cottage cheese and sour cream

Fresh Pasta & Sauces: Di Giorno

Processed Meats: Oscar Mayer hot dogs, cold cuts and bacon, Osacar Mayer Lunchables, Louis Rich turkey products (hot dogs, cold cuts, and bacon), Louis Rich Carving Board sliced meats

Pickles & Sauerkraut: Claussen

Pizza: Di Giorno, Jack's, Tombstone

KRAFT FOODS INTERNATIONAL, SELECTED BRANDS

Cheese: Dairylea, Eden, El Caserio, Invernizzi, Kraft, P'tit Quebec, Philadelphia, Sottilette

Coffee: Blendy, Carte Noire, Gevalia, Grand' Mere, Jacobs Kronung, Jacobs Monarch, Jacques Vabre, Kaffee HAG, Kenco, Maxim, Maxwell House, Saimaza, Splendid

Hefeweizen (draft only), Celis White, Celis Grand Cru, Celis Pale Ale, Celis Golden, Celis Raspberry, Celis Dubbel Ale, Pale Rider Ale, Shipyard Export Ale, Goat Island Light Ale, Fuggles Pale Ale, Old Thumper Extra Special Ale, Blue Fin Stout, Longfellow Winter Ale (seasonal), Longfellow India Pale Ale (seasonal) Mystic Seaport Pale Ale, Chamberlain Pale Ale, Sirius Summer Wheat Ale (seasonal), Prelude Ale (seasonal), Molson Golden, Molson Export Ale, Molson Canadian, Molson Canadian Light, Molson Light, Molson Ice, Molson Exel non-alcohol brew, Molson Red Jack Ale, Foster's Lager, Foster's Special Bitter, Sheaf Stout, Presidente (from Cerveceria Nacional Dominicana, Santa Domingo, Dominican Republic), Shanghai (from Shanghai Foster's Brewery Co. Ltd., Shanghai, People's Republic of China)

Parent Company: US Tobacco

Wines: Chateau Ste. Michelle, Columbia Crest, Domaine Ste. Michelle, Villa Mt. Eden, Conn Creek, Colour Volant

Beer: Bert Grant's Ale

CERTIFICATION OF NON-ACCEPTANCE OF TOBACCO FUNDS

Company/Organization Name

Please check one of the following:

- ❑ The applicant named above hereby certifies that it will not accept funding from nor have an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company during the term of the grant from the California Department of Health Services, Tobacco Control Section.

- ❑ University/Colleges Only
  The Principal Investigator of the university or college named above hereby certifies that he/she has not received funding from nor had an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company within the last five (5) years prior to the start date of the grant period. In addition, the Principal Investigator of the university or college named above hereby certifies that he/she will not accept funding from nor have an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company during the term of the grant from the California Department of Health Services, Tobacco Control Section.

CERTIFICATION

I, the official named below, hereby swear that I am duly authorized legally to bind the contractor or grant recipient to the above described certification. I am fully aware that this certification, executed on the date below, is made under penalty of perjury under the laws of the State of California.

Director of Agency or Principal Investigator:

Signature Date Print Name and Title

CHAPTER 400
TOBACCO CONTROL ADMINISTRATIVE REQUIREMENTS

TABLE OF CONTENTS

#01 DATA COLLECTION AND REPORTING REQUIREMENTS

Adopted 02/94
Chapter 400 Revised 07/02

1. Agencies shall conduct surveillance activities, collect and maintain data, submit reports, and conduct evaluations in accordance with CDHS/TCS requirements.

2. Agencies shall allocate a minimum of 10 percent of their annual CDHS/TCS budget towards an evaluation component to support staff designated to oversee evaluation, required data collection, surveillance, evaluation, and reporting requirements. This is a mandatory requirement and must be evident in the budget.

3. Agencies shall designate one staff person as the lead on evaluation activities. At a minimum, 10 percent of this staff person's time is to be dedicated toward overseeing evaluation activities, coordinating evaluation activities with CDHS/TCS, and any evaluation consultant or subcontractor who may be hired. This is a mandatory requirement and must be evident in the budget.

4. The documents, **Tell Your Story: Guidelines for Preparing an Evaluation Report** and **Using Case Studies to do Program Evaluation** are to be used as the standard for preparing final evaluation reports.

5. Progress Reports shall be submitted bi-annually to CDHS/TCS, with one original and one copy, each complete with attachments.

6. The content of the Progress Reports shall be in accordance with CDHS/TCS instructions and the required forms shall be used. Agencies should maintain back-up documentation, such as logs, sign-in sheets, press releases, etc. to verify all information provided in the progress reports and will be required to submit documentation with progress reports as identified in the progress report instructions.

7. If timely and accurate progress reports and evaluation reports are not received by CDHS/TCS, payments will be withheld until delinquent or deficient reports are up-to-date or evaluation requirements are satisfied. Contractors shall be given a time-certain date by which to re-submit unsatisfactory reports. If reports are not submitted timely or remain unsatisfactory, the contract award may be reduced.

8. Each agency shall cooperate with and participate in evaluation activities conducted by agencies that are under contract with CDHS/TCS for the purpose of evaluation or surveillance activities.

#02 EQUIPMENT PURCHASES

Chapter 400 — Adopted 2/94, Revised 09/03

A. VEHICLES

TCS does not allow the purchase or leasing with option to buy of vehicles. Agencies must budget for the use of their agency vehicle by allocating funds for reimbursement of mileage at a rate established by the agency. The agency can bill the TCS contract each month for the amount of miles logged by the TCS contract staff.

B. CELLULAR PHONES/PAGERS

Cellular phones and monthly access fees are not authorized for TCS contractors.

Pagers and monthly fees may be authorized. Pagers will be considered on an individual basis and is dependent upon the need of the contractor and approval of TCS.

C. COMPUTER HARDWARE/SOFTWARE

With prior TCS approval, some agencies are permitted to purchase computer hardware and software. The guidelines, request for application or renewal instructions under which the agency was funded designates whether an agency is permitted to purchase computer equipment. The following guidelines pertain to those agencies that <u>are</u> permitted to purchase computer hardware and software.

Computer Hardware

1. Agencies that are permitted to purchase computer equipment shall obtain approval **PRIOR** to purchasing computers and computer support equipment. Requests to purchase equipment must be approved through the budget process. Once approved, the contractor must follow the procedures for reporting the purchase and inventory of the equipment as outlined in Section I, Chapter 800 of the Competitive Grantees Administrative and Policy Manual. Equipment purchases not in the approved budget will be disallowed unless a prior written request is submitted to the assigned CDHS/TCS contract manager for review and approval and written approval is granted.

2. Computer hardware shall be located in an area accessible to the principle tobacco control program staff, e.g., tobacco control project director/coordinator.

3. The agency shall have equipment for the purposes of: producing state mandated progress reports, completing statewide independent evaluation instruments and reports, and participating in PARTNERS. Following are the minimum hardware specifications for new equipment purchases at this time:

New Equipment Purchase Specifications:

Type	Minimum
Processor	2.6 mhz, Pentium IV-class
Hard Drive	40 Gigabyte
RAM	256 Megabyte
Monitor	17”
Printer	HP laserjet quality printer
Peripherals	3.5” Floppy Disk Drive CD Rom + CD/RW Drive
Modem	56 Kbps V.90 or LAN-based internet access or DSL service if available in area

4. Computer equipment requests are to be justified by demonstrated programmatic or administrative need and are subject to CDHS/TCS written approval.

5. The agency shall modify its computer system as requested by CDHS/TCS.

Computer Software

1. Contract language prohibits the use of state funds for the acquisition, operation, or maintenance of computer software in violation of copyright laws. By signing the contract award, the contractor has certified that it has appropriate systems and controls in place to ensure that violations do not occur.

2. The agency must obtain approval **PRIOR** to purchase computer software. Requests to purchase equipment must be approved through the budget process. Once approved, the contractor must follow the procedures for reporting the purchase and inventory of the equipment as outlined in Section I, Chapter 800 of the Competitive Grantees Administrative and Policy Manual. Equipment purchases not in the approved budget

will be disallowed unless a prior written request is submitted to the assigned CDHS/TCS contract manager for review and approval and written approval is granted.

3. Following are the recommended software packages an agency should have available for use:

Software Specifications:

Type	Minimum
Operating System	Microsoft (MS) Windows 2000/or XP Professional
Presentation	PowerPoint 97
Word Processing	Word 97 (as part of Office 97 Professional Suite)
Spreadsheet	Excel 97 (as part of Office 97 Professional Suite)
Database	MS Access (as part of Office 97 Professional Suite)
Internet Service Provider (ISP)	E-mail and internet access; or through existing LAN, if available.
Internet Access	Dial-up service /Broadband if available in area; or LAN internet access, if already available.
Browsers	Internet Explorer v. 6.0
Adobe Acrobat Reader	Adobe Acrobat Reader 6.0
Statistical	Epi Info 2002
Antivirus Software	Required (any brand)

- If MS Office 97 Professional is not available as part of the computer package, MS Office 2000 or Office XP Professional may be purchased instead. However, you will be required to submit electronic files to TCS in MS Office 97 format.
- Includes AOL, Compuserve, Earthlink, JPSnet, MSN, NS-Net, Pacific Bell, Sprintnet, or any other Internet Service Provider which provides E-mail and Internet access.
- May be downloaded for free at http://www.cdc.gov/epiinfo/

4. The agency shall modify or change its software according to CDHS/TCS specifications.

5. Any recommendations above are based solely on achieving a higher level of compatibility with the equipment and software used by CDHS/TCS. It does not constitute a product endorsement.

#03 STAFFING, ADMINISTRATIVE AND TRAVEL REQUIREMENTS

Adopted 01/96
Chapter 400 Revised 07/02

Additional requirements may be found in Section I of the Local Lead Agency and/or Competitive Grantee Administrative and Policy Manuals.

A. STAFF REQUIREMENTS

1. Personnel classifications and/or professional disciplines shall be appropriate for the completion of the scope of work requirements.

2. The agency is responsible for notifying their CDHS/TCS contract manager in **writing** in a timely manner of staff changes in the Project Director position.

3. The agency shall designate one staff person as the lead on evaluation activities. At a minimum, 10 percent of this staff person's time is to be dedicated toward overseeing evaluation activities, coordinating evaluation activities with CDHS/TCS, and any evaluation consultant or subcontractor who may be hired. This is a mandatory requirement and must be evident in the budget.

4. The agency shall have professional staff qualified to:

   - Collaborate with community agencies, organizations, and targeted populations;
   - Implement principles and practices of community health education;
   - Coordinate community assessments, conduct educational, media, policy activities and evaluation;
   - Collect and tabulate required data;
   - Perform program planning and evaluation activities;
   - Fiscally and administratively manage the tobacco control program; and
   - Comply with reporting and record keeping requirements of the State.

5. The agency must have on file and provide to CDHS/TCS as requested, job descriptions and duty statements for all positions listed in the budget.

6. In **local lead agencies**, the individual designated as the Project Director(PD)/Project

Coordinator (PC) shall be assigned to the project 100 percent time. The PD/PC shall have day-to-day responsibility for the management and implementation of the project. A reduced PD/PC staffing pattern requires prior TCS approval and must not drop below 75%. The reduction must be justified (e.g., diminishing funds, the PD needs to oversee MSA or competitive grant funded programs also, personal issues, etc.) **and** the agency must meet the following criteria:

- Has a past track record of satisfactory progress towards completing its scope of work;
- Progress reports and cost reports are submitted timely, complete, and accurate;
- There is participation by appropriate staff in TCS trainings and conferences;
- There is evidence of local collaboration; and
- All of the above functions are maintained at the reduced time level.

If the above criteria are not met, TCS reserves the right to have the PD/PC increased back to 100% time.

B. BUDGET AND ADMINISTRATIVE REQUIREMENTS

1. Agencies will prepare either cost reports (local lead agencies) or monthly invoices in arrears which detail the actual program expenditures in accordance with the format prescribed by TCS.

2. Payments to agencies are contingent upon receipt and approval of their scope of work and budget and upon receipt and approval of other contractual deliverables such as progress reports and cost reports or invoices.

3. Agencies must maintain a functioning e-mail account.

4. As a rule of thumb, agencies should budget their funds as follows:

    a. Personnel expenses (includes salaries, benefits, and indirect costs) should be approximately two-thirds of your total budget.

    b. Operating expenses should not exceed one-third of your total budget.

    c. For **local lead agencies**, if you subcontract for services, your total subcontract services line item should not exceed one-third of your total budget.

    For example, if the agency's annual budget is $110,000 the budget would be as follows:

Total Personnel	$ 73,700
Operating Expenses	$ 36,300
Total Budget	$110,000

5. Agencies shall comply with administrative and contractual requirements as provided to them in the form of the contract manual updates and Program Letters throughout the contract term.

C. TRAVEL REQUIREMENTS

1. Project directors of local lead agencies and ethnic networks or their designee are required to budget for and attend the CDHS/TCS project directors meeting which is generally held on an annual basis.

2. Out-of-State Travel

   a. Local Lead Agencies

   Local lead agencies may expend their funds for out-of-state travel when the travel is consistent with county guidelines and requested and approved through the CDHS/TCS budget process.

   b. All Other TCS Contractors

   All other TCS contractors must request in writing, prior approval for out-of-state travel and justify the request unless it is pre-approved through the CDHS/TCS budget process. **<u>This includes "salary only" trips in which another agency is paying for travel and per diem and you are requesting TCS to pay for your salary.</u>** The request is to be addressed to the Contract Manager (CM) assigned to your project and must include, at a minimum, the following:

   - A letter requesting approval for the trip. The letter must describe the trip in detail; indicate the benefits to the tobacco program if the TCS funded staff were allowed to attend;

   - A <u>detailed</u> description of all costs related to the travel. This includes salary costs for the individuals traveling, lodging, airfare, car rental, food, etc. If related costs are not provided in the request, TCS staff will make the determination as to how much will be allowed, if any; and,

- A copy of the letter of invitation, conference brochure, agenda, etc.

- If you have been able to secure partial funding for travel from another source, please indicate the name of the agency providing the funds.

Your request will be reviewed by the CM/PC to determine if there is sufficient merit for the travel request and if sufficient funds are available in your contract. The request is then forwarded to the TCS Assistant Chief who shall have final responsibility for approving all out-of-state travel requests.

Please allow 10 working days to receive a response to your written request.

Out-of-state travel, including salary, that occurs without prior written approval will be denied.

Refer to Section I of your Administrative and Policy Manual for the procedures and format to follow in submitting your request.

A. INTEREST EARNED

1. Local Lead Agencies

LLAs are required, per paragraph 17 of their allocation agreement, special terms and conditions, to deposit their prospective payments into an interest bearing, insured trust account. In accordance with paragraph 9 of the allocation agreement, the interest accruing from these prospective payments must be used for state-approved tobacco control program-related activities and shall be used to defray costs incurred by the program, measurably expand the program or improve the quality of services above the level of services already funded under the contract.

LLAs may use funds from interest earned to purchase items in the approved scope of work (i.e., incentives, media, promotional items, etc.) or temporary help (and the fringe benefit expenses associated with the temporary help position) without obtaining **additional** prior written approval (the written approval of the *CTCP* constitutes prior written approval). These funds cannot be used to supplement fringe benefit expenses for regular staff or for Indirect Cost expenses.

Prior written approval will be required to use these funds for equipment purchases or for purchases of any items not in the approved scope of work (i.e., consultants, media, etc.).

The LLA must comply with the following:

- Obtain prior written approval from TCS to use interest earned money from the trust account to purchase items/services not in the approved scope of work. Refer to Section I of this manual for the procedures and format to follow in obtaining approval.

- Maintain adequate documentation of the receipt and use of such interest. Once approval is obtained to use interest earned money, the LLA must report the use of these monies during the cost report period in which they were spent. Refer to Section I for the procedures and format to follow in submitting cost reports.

- Return to the State any unexpended interest remaining in the trust account, if funding authority for this allocation agreement expires or the agreement is canceled. Refer to your allocation agreement special terms and conditions for more information. Should this actually occur TCS will provide more detailed instructions.

2. Competitive Grantees

These projects may have earned interest by obtaining an advance payment on the first fiscal year amount of their contract award. Specific provisions of their contract does not allow for the use of interest earned to defray program costs, measurably expand the program, or improve the quality of services above the level of services already funded under their contract. If you obtained an advance payment, any interest accruing from advance payments is to be returned to the state prior to the contract expiration or termination date. Refer to the advance payment provisions of your contract for more information.

B. GENERATED REVENUE

Please read carefully the generated revenue clause in your contract. TCS would prefer that the programs use the funds in their contract to conduct business rather than generate revenue to pay for program activities. If the program feels it is absolutely necessary that they generate revenue, then the program must comply with the following:

- Obtain prior written approval from TCS to generate revenue. Refer to Section I of this manual for the procedures and format to follow in obtaining approval.

- Maintain adequate documentation of the receipt and use of these monies. LLAs must report the use of these monies during the cost report period in which they were spent (refer to Section I of this manual for the procedures and format to follow in submitting cost reports). All other contractors may be asked at any time to provide documentation of the receipt and use of these monies.

- Return to the State any unexpended funds, including any interest earned, remaining in the generated revenue account, if funding authority for this contract expires or the contract is canceled. Refer to your contract language for more information. Should this actually occur TCS will provide more detailed instructions.

CHAPTER 500
PROGRAM PLANNING AIDS

TABLE OF CONTENTS

The following description is taken from material developed by the Stanford Center for Research in Disease Prevention.

A. What is an Outcome Objective?

An outcome objective states the results one hopes to attain by intervention activities.

Example: *By June 30, 2002 reduce the number of billboards with tobacco advertising by 50 percent in two cities exposed to the intervention.*

TCS outcomes focus on community-level social norm change, such as shown in the above example, rather than on individual-level change strategies. Effective community norm change objectives work to reduce ETS, eliminate youth access to tobacco, and counter pro-tobacco influences (the TCS three priority areas.)

A goal is usually the broader desired result of achieving multiple outcome objectives.

Example: *Reducing tobacco-related deaths in California.*

For local programs evaluation, the TCS needs to have outcome objectives defined prior to project start-up. Specific, measurable objectives allow staff and volunteers to focus on their responsibilities and clarify the relationship between intervention activities and desired outcomes.

B. How to Write an Outcome Objective

Developing specific, measurable outcome objectives requires time, systematic thinking, and an understanding of the expected effect of a program. Well-written outcome objectives provide important guidance for the implementation and evaluation of an intervention.

Example: *By January 1, 2000 the percentage of tobacco retailers in Riverview who are in compliance with the existing local sign law will increase by 50% (from 60% rate of compliance found in May, 1998) to a 90% rate of compliance.*

Key questions to consider when writing an outcome objective:

1. **Is it specific?**

   - **Who or what is expected to change or benefit?**
     Example: *Percentage of tobacco retailers in compliance (measure: sidewalk signs outside their establishment).*

   - **What/how much change or benefit is expected?**
     Example: *50% increase in the percentage of retailers in compliance.*

   - **Where will the change occur?**
     Example: *In Riverview*

   - **When will the change occur or is a completion date specified?**
     Example: *By January 1, 2000*

2. **Is it observable and measurable?**

   The outcome must be something you can measure from self-reports or see, count, hear, smell, etc. In the above example, the project will observe whether tobacco retail establishments have any sidewalk signs outside their establishment. The percentage of establishments that do not have any signs outside is a measure of the percentage of retailers in compliance with the law.

3. **Is it achievable/reachable?**

   Write outcome objectives that are likely to be achieved. A baseline measure will assist you in estimating the level of success you might expect to achieve. Decide whether your intervention is realistic by considering baseline measurements as well as using your knowledge and experience in this area. Be realistic. Don't overestimate the probable outcome. For example, an outcome objective of 90% merchant compliance with sidewalk tobacco sign removal may be unrealistic if, at the start of the intervention, only 30% of the retailers are in compliance. An outcome objective of 50% or 60% is more realistic, and is therefore an achievable outcome objective.

   If you don't know the baseline or current level of a proposed factor or outcome, you may not be able to estimate how much change is achievable. You can gather such information before you finalize your outcome objective, or you can write your objective but end it with a note stating, for example, "percent change is an estimate and may change following the assessment of baseline/current levels.”

4. Is it meaningful and important?

Even if achievable, an outcome may not be sufficiently meaningful and important to be justified. In the above-cited example, if, at the beginning of your intervention, 85% of the retailers are already in compliance, then an intensive merchant education and enforcement intervention that will at best yield only a modest compliance increase from 85% to 90% may not be worth the effort. One way to test whether the outcome of your objective is worthwhile is to give it the “who cares” test. For example, achieving one thousand pledges to establish smoke-free homes is meaningless if smokers continue to smoke in homes. A more meaningful outcome would be to have people report on whether they have actually established and maintained a smoke-free home. There are no hard and fast rules. Consider the required financial and human resources and the cost-benefit of the intervention.

In summary, outcome objectives specify who or what is expected to change, what and how much change or benefit is expected, where the change will occur, and when.

Example, *The Riverview city council will pass a city policy prohibiting smoking on city playgrounds by April 1, 1999.*

- **What is expected to change?**
  City policy

- **What/how much change or benefit is expected**?
  *Passa*ge of a city policy prohibiting smoking on city playgrounds.

- **Where will the change occur?**
  On Riverview city playgrounds

- **When will the change occur or is a completion date specified?**
  By April 1, 1999

Passing a city policy is a measurable event. Again, you must decide about the achievable/reachable rule. If four of your seven council members are avid smokers’ rights advocates you may need another objective. If, on the other hand, you have a supportive council, this may be doable. Also, if a baseline survey shows that only 5 percent of the persons visiting playgrounds smoke, your resources might be better placed elsewhere as you may be solving a problem that does not exist or would have minimal impact on the overall community climate.

Writing a good outcome objective takes skill and judgment. The time and effort spent in writing objectives will put you far ahead in program planning and evaluation.

C. Outcome Objective Checklist

Use this checklist to judge whether your outcome objective meets the following criteria.

Does your outcome objective specify:

- ❏ Who or what is expected to change or benefit?
- ❏ What change or benefit is expected? Does it specify how much change or benefit is expected?
- ❏ Where will the change occur?
- ❏ When will the change occur or is a completion date specified?

Is your outcome objective:

- ❏ Observable and measurable?
- ❏ Achievable/reachable?
- ❏ Important or meaningful?

A. Elements of the Plan

The purpose of community health planning is to develop a course of action that will guide the implementation of programs that effectively address the problem. The ultimate goal of this effort is to improve the health of the community and its residents.

Because many groups and individuals are directing their time and energy toward this effort, the plan must clearly define:

- the problems to be addressed;
- who is targeted;
- anticipated impact and outcomes resulting from interventions;
- the activities that will occur; and
- a time table for major accomplishments.

B. Principles of Planning

1. **Plan the process:** Determine who should be involved, the data needed, resistance you might encounter, the factors that will enhance the success of the planning process, and a time frame for the process.

2. **Plan with people:** Involve both professionals and consumers in the planning process. Opening the planning process up to a broad range of people expands your expertise, understanding of the problem, generates more ideas, and creates a sense of ownership and commitment to the plan as well as its implementation.

3. **Plan with data:** Utilize data on the tobacco use problem, target groups, and current availability of tobacco control services to drive resource allocation, distribution of services, and program design.

4. **Plan for permanence:** Planning is a time intensive task. To make the most of the effort, planners should think in terms of developing activities that will be institutionalized into the community. A community planning group should be formally established as a planning body with development of a mission statement, staggered terms, and a rotating chair.

5. **Plan for priorities:** Address those problems and programs that have the highest need and the greatest opportunity to make an impact.

6. **Plan for impact and outcomes:** Determine the knowledge, attitudes, beliefs, behaviors, skills, and services you want to impact with the initiative as well as the concomitant health or economic outcomes that are to be addressed.

7. **Plan for evaluation:** During the planning phase, determine the data needed to measure impact and outcomes, the methods to collect data, when to collect data, who will collect the data, and how the data will be used to modify the program.

C. Community Organization and Collaboration

Collaboration is the result of the joint effort by different groups working toward a common goal. Many agencies effectively collaborate with a variety of health and service providers on diverse activities such as development of referral systems, sharing space, sharing educational materials, sharing information and technical assistance, jointly developing materials or implementing activities, and by participating in community policy making and planning.

For the purposes of developing a tobacco control plan, existing relationships may need to be strengthened while other relationships with voluntary agencies, target groups, and service delivery channels may need to be established. From the conception of the plan through its implementation and evaluation, a wide variety of abilities and expertise are needed. By expanding planning and implementation activities to the widest group possible, the agency's scope of expertise and sphere of influence is greatly expanded. Influence and rapport with the various target groups, community leaders, media, the community at large, and funding sources are important factors to the successful implementation of any community health initiative.

1. Advantages to Collaboration

- It increases the likelihood that members of the target audience will come into contact with someone working on tobacco control issues. Development of these social networks is crucial to the program's success as they are more likely to result in adoption of new beliefs and behaviors than vertical dissemination of messages.

- Messages promoted through multiple sources are more effective at changing community norms. When communication channels are dominated with the belief that tobacco use is an unacceptable behavior, than the public perceives the position being advocated is held by the majority of the community. Opposition is less likely to be voiced because individuals fear social isolation.

- Collaboration improves the chances that the programs will be permanently adopted because they are firmly tied to the community and run by the community.

- Collaboration improves the delivery of community services by avoiding duplication of effort and sharing of resources.

- Working together accomplishes more than working alone since a variety of resources, expertise, influence, and connections are directed toward a common goal.

- The community is mobilized through an ever increasing involvement of its leaders and citizens.

2. Barriers to Collaboration

Collaboration is not always easy. By recognizing the barriers to collaboration, agencies can proactively take steps to resolve or negate them before they escalate and interfere with working toward a common goal. Barriers to collaboration include:

- History of antagonism.

- Competition for funding, staff, volunteers, or access to target populations.

- Community politics.

- Poor communication resulting in assumptions or unspoken expectations.

- Fuzzy lines of decision making and responsibility.

- Time intensiveness. Often it seems quicker and easier to do it yourself.

- Difficulty with giving or receiving criticism.

- Difficulty with compromising and achieving a consensus.

- Issues of "ownership" and an unwillingness to share the program with others

3. Steps to Collaboration

Health departments, regional community linkage projects, and ethnic networks frequently have primary responsibility for coordinating and sustaining collaborative efforts directed toward major health initiatives in their communities. Accepting this role requires a major commitment on the part of the agency, clear support within the agency for the proposed collaboration, and an understanding by decision makers within the agency regarding the value of collaboration. Steps toward collaboration include:

- Identify all the groups in the community with a stake in tobacco control issues. Identification of individuals, agencies, and organizations with the expertise, connections, credibility, and understanding of the targeted groups.

- Find out as much as possible about those who are to become part of a formal collaboration network and their areas of expertise.

- Identify the potential roles various groups may play in the collaborative effort and what the local lead agency can offer, what it wants for them, and the expected time commitment.

- Recruit members for key positions on the coalition who are enthusiastic and excited about the goals as well as able and willing to commit their time.

- Meet with potential collaborators. Speak honestly. Clearly identify roles and expectations. Listen and be prepared to compromise.

- Ensure that the coalition is representative of the community's ethnic makeup, geographic and population centers, and have the necessary areas of expertise and influence.

- Discourage advancing specific program proposals and solutions to problems until epidemiological data, needs assessments, and advantages and disadvantages of various approaches have been examined.

- Clarify goals, objectives, roles, and strategies when making plans.

- Use group consensus methods such as nominal group or delphi techniques to make decisions. Merely discussing issues and voting on them may not ensure a consensus as some coalition members may be too intimidated to share their views openly in the group and ultimately will not support a decision they do not feel a part of.

- Be accessible.
- Give equally. Do not ask without giving in return.
- Frequently ask for feedback from all the partners on how the collaboration is going.
- Reward participants.
- Celebrate your successes!

INTEGRATING MEDIA ADVOCACY INTO TOBACCO EDUCATION PROJECTS

Chapter 500

Adopted 2/94
Revised 9/99

The following are guidelines for using media advocacy strategies and should be incorporated into the development of tobacco control projects. These guidelines were developed with support from the Stanford Center for Research in Disease Prevention.

Many media stories result from creative opportunism - seizing opportunities created by unplanned events and the evolving news environment. These opportunities can be prepared for by developing and following a strategic plan that integrates media into the broader scope of the project.

A strategic approach means weaving media throughout all interventions. It does not mean simply good public relations or publicity for your agency or media exposure for tobacco-related stories measured by column inches or broadcast minutes. This can result in a costly and common error of compartmentalizing media activities or segregating them from the foundation of the overall program.

The key steps to integrating media advocacy into your project are:

A. Determine Your Policy Objectives

- Are you working on reduction of youth access to tobacco?
- Are you trying to increase enforcement of youth access to tobacco laws?
- Are you trying to limit tobacco advertising/signs in your community?
- Are you trying to eliminate tobacco sponsorship of local events?
- Are you attempting to build support for enforcement of smoke-free bars?
- Are you trying to build support for restricting tobacco advertising and promotions targeting youth?
- Are you trying to reshape public opinion away from the smoker to protecting the public?

B. Determine Your Audience, Channel, Communication Objective, and Resources

1. Audience

- Are you attempting to educate community decision makers or the public?
- If the public, what are their demographics?
- Where do they get their information from?
    - Who do they think is credible to deliver the message?

2. Channel

- Have you developed an inventory of media organizations in your community?
- Which ones has a history of covering local issues of health and policy?
- What is their circulation/reach of a signal?
- What are the available formats?
- What are the names of key people?

3. Communication Objective

- Are you simply trying to make people aware of a specific tobacco policy issue?
- Are you trying to impart information on environmental issues that support policy?
- Or do you actually want people to take a specific action?

4. Resources

- What is your budget?
- Who on your staff has media experience, contacts or mailing lists?
- What equipment do you have available to you (desk top publishing system; video player, camera, etc.)

After the audience, channel, communication objective, resources and policy objectives have been decided, then consider the tactics to implement these strategies.

C. Designate a Media Specialist

This does not necessarily need to be someone with extensive media experience, but it should be one person, with the help of a subcommittee, who is committed to getting acquainted with, tracking and working with local media. Having assigned people to handle contacts and details lends professionalism and continuity. It is important, however, that the media specialist does not become isolated, but works as part of the main planning team.

D. Develop and Maintain Key Media Contacts

Media organizations are primarily businesses, and doing business depends a great deal on relationships with key people. Treat these relationships with the utmost level of professionalism and kindness. Send thank you letters when appropriate, to both the reporter and their immediate supervisor. If television or radio, send complimentary letters to the Federal Communications Commission. They will remember you positively for this.

E. Formulate a Rough Media Plan Based on Your Policy Objectives

Think through how the available outlets and resources can help to meet the identified needs. Most importantly, leave time and energy to take advantage of breaking news, to be opportunistic in making sure your message gets heard in the way you want it to get heard.

F. Divide the Media Activities into Thematic Time Frames

The thematic time frames should be long enough to plan ahead, and short enough to manage. For example, a certain number of months emphasizing tobacco-free schools, a certain number focusing on smoke-free restaurants, a certain number on youth access issues, etc.

G. Coordinate Media Activities with Interventions

Coordinate media activities with interventions in your own plan as well as those of the region, state or nation. By integrating your media plans with other community events, whether your own or others, you will be re-enforcing the tobacco control message on different levels simultaneously.

H. Integrate News Stories and Messages

1. Plan events to generate news that relates to your policy objectives.

For example:

- If your issue is youth, have youth collect tobacco industry promotional giveaways and then hold a press conference to announce their intention to return them to the Tobacco Institute. Or, sponsor a high school graduating class in exchange for class involvement in a public service billboard campaign on tobacco control. Hold a Kick-Off event when a new billboard goes up.

- Do something unusually newsworthy on the anniversary of an ordinance. Invite the press.

- If your issue is alternative sponsorship, sponsor a race car, rodeo or sports team. This offers a good chance to consistently and publicly display your message to the public, and also makes for a good news story about the influence of the tobacco industry.

- If your goal is simply awareness of tobacco as an environmental issue, sponsor a tobacco-free event in your community; this is a good news story for the press.

I. Develop Opportunistic Media Readiness Skills

This means having everything in place so that you can quickly and intelligently respond to an unplanned media opportunity. For example:

- Train key coalition members to speak to the media on your policy objectives. Be sure they have their "media bites" ready.

- Place opinion-editorial pieces and letters to the editor supporting your message at key times.

- Develop Media Products: Work with the policy and media subcommittees of your coalition to develop radio, billboard, bus board materials or even brochures that support your policy objectives, e.g., clean indoor air, youth access to tobacco, tobacco advertising targeting youth.

  These products should relate to your policy objectives and the messages and approach should be acceptable to the group you are trying to reach. There should be a dissemination plan and an appropriate production company should be hired that understands tobacco control and who is willing to work with the coalition.

J. Develop an Evaluation Plan

Maintain distribution and placement logs. Maintain a file or scrapbook of media coverage. Consider adding a telephone number and incentive for calling in to track response to the media placement. Analyze the quantity and type of media support and letters to the editor.